Continuity Plan Template and Instructions for Non-Federal Entities and Community-Based Organizations

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August 2018

CONTINUITY PLAN TEMPLATE AND INSTRUCTIONS

This template provides instructions, guidance, and sample text for the development of Continuity Plans and programs in accordance with the *Continuity Guidance Circular (CGC)* dated February 2018. The guidance in this template is designed for non-federal entities, and may be useful for all levels of state, local, territorial, and tribal governments, the private sector, non-governmental organizations, and community-based organizations. The first portion of this template is dedicated to organizational operations associated with the continuation of essential functions. The second portion of the template is reserved for continuity program management and appendices. Annex 3 at the end of the document contains a ready-to-use outline of this template.

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 secure their individual continuity plans as appropriate. After using this template, jurisdictions and organizations may want to use the Continuity Assessment Tool (CAT) to evaluate their continuity plan and program.

Note: *Once organization-specific information is entered into the body of the template, delete the italicized, highlighted instructions.*

An electronic version of this document, in portable document format (PDF) and Microsoft® Word is available on the FEMA National Continuity Programs, Continuity Resource Toolkit website at https://www.fema.gov/continuity-resource-toolkit. Questions concerning this template may be directed to fema-cgc@fema.dhs.gov.

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PROMULGATION STATEMENT

This letter, when signed by the head of the organization, serves as a formal authorization of, and introduction to, the plan and its purpose. It gives the plan official status, and the organization authority and responsibility to perform their tasks.

Include the mission statement of the organization and summarize the scope and purpose of developing a continuity plan (what the plan is, who it affects and the circumstances under which it should be executed).

The **[Organization Name]**'s mission is to **[enter mission statement]**.

To accomplish this mission, the organization must ensure its most important and time critical operations are performed efficiently and with minimal disruption, especially during an emergency. This document provides guidance for implementing the Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key personnel who may be activated under this plan are collectively known as the **[insert name of group, such as Continuity Team]**. Upon plan activation, these members **[will/may]** deploy to **[insert alternate location name or placed on telework status]** where they will establish an operational capability and perform essential functions within the designated recovery time objective (RTO) and continue until normal operations can be resumed.

This plan is developed in accordance with guidance in the

- *Continuity Guidance Circular,* dated February 2018;
- Management Directive **[enter Directive number and title]**; and
- Other related directives and guidance **[list]**.

[Organization Head signs here]

[Enter Organization Head's name here]

[Enter Organization Head's title here]

[Enter Organization Name here]

CONFIDENTIALITY STATEMENT

Should include a description of any protections provided to the continuity plan to prevent disclosure of plan tactics and personal information to those who may intend harm to the organization or its personnel. Depending on the sector, this may include:

- *Legislative exemption of continuity plans from public disclosure laws*
- *Designation of plan 'For Official Use Only'*

This document along with subsidiary plans and supporting documents, contains confidential information and are for official use only as provided in **[enter applicable regulation]**. These documents are to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the standard procedures followed for confidential information at **[organization name]** and are not to be released without prior approval of the **[organization head title]** to the public or other employees who do not have a valid "need to know."

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ESSENTIAL FUNCTIONS

This section should include a list of the organization's most time critical and essential functions (EFs) that cannot be left undone for 30 days without risking failure of mission or loss of trust, respect, and funding. The Continuity Plan should identify the resources, space requirements, costs, interdependencies, work flow processes, and support functions that ensure the continued performance of the organization's EFs.

The CGC describes the process of identifying and prioritizing EFs, conducting a business process analysis (BPA), conducting a business impact analysis (BIA), and developing risk mitigation strategies. (Reference CGC pg. 14-16, 18.) Jurisdictions and organizations may choose to complete this section in narrative format, use the table on the following page, or both, to outline their EFs.

Business Impact Analysis Summary

The BIA may be an important reference for all the organization's disaster management plans. A single analysis should be shared and referenced in each plan to ensure consistent strategies. (Reference CGC pg. 17-18.)

Summarize the results of the BIA, noting how threats affect:

- *Requirements for a continuity facility and infrastructure*
- *Risks to essential records, servers, data lines, and IT equipment*
- *Risk prevention and mitigation tactics*

Essential Functions and Resource Summary

Summarize the results of the BPA for each EF, including:

- *Recovery time objectives (RTO)*
- *Staffing (workers and managers) required to complete the function*
- *Equipment, supplies, records, IT access, and communications necessary to conduct work*
- *Facility space and infrastructure requirements*
- *Supporting activities*
- *Dependencies*
- *Expected costs for continuity*

Include a work flow process description and/or diagram or reference the appropriate standard operating procedure (SOP) that details every step to complete each EF. (Imagine that a temporary employee with the required credentials, but without knowledge of organization-specific procedures comes in to assist; outline the steps so they complete the work as intended.) (Reference CGC pg. 16.)

Support Functions

Describe internal support activities that will help ensure the ability to support EFs, including issues like plans for pay and benefits, administrative support, and establishing a break schedule for Continuity Team members. (Reference CGC pg. 21)

Interdependencies

Explain how interdependencies will be managed.

- *Who does the organization count on to complete your EFs?*
  - *Discuss what is needed.*
  - *How would these needs be accessed or accomplished if either or both organizations are in continuity operations?*
  - *What are the RTOs?*
- *What other entities depend on you to complete their EFs? Does this create additional EFs for you?*

Mutual Aid

Where applicable include memoranda of understanding (MOU), memoranda of agreement (MOA), emergency contracts, or service level agreements (SLAs) that have been put in place to augment resources to support the continuation of essential functions. (Reference CGC pg. 21.)

Expected Costs

Outline or summarize the costs associated with the continuation of essential functions. This is different from the continuity program budget. These costs are directly related to the implementation of the supporting activities associated with the essential functions. (Reference CGC pg. 18.)

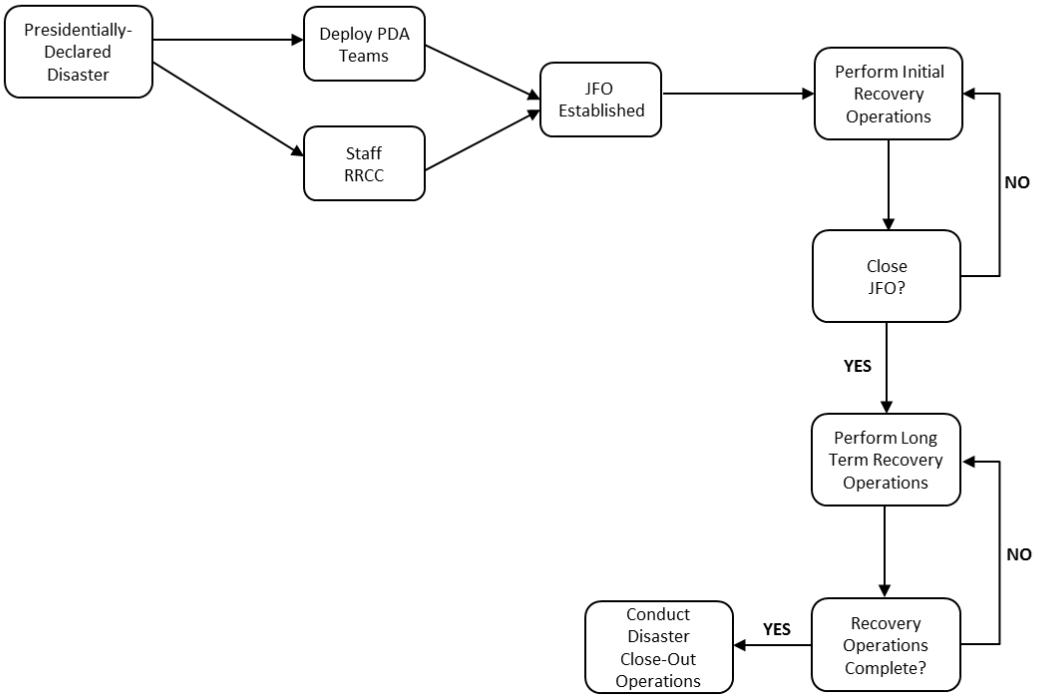
Using CGC guidance, the organization has identified its EFs, a limited set of its overall functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. These EFs have been approved by **[official title],** are listed in **[Table 1]** below in priority order.

Table 1: SAMPLE Essential Function Table

Essential Function	Recovery Time Objective	Responsible Personnel
[Insert organizational essential function here]	[List max time to resume function.]	[List staff and managers responsible for essential function.]
	Resources	
	[Insert required equipment, supplies, records, etc.]	
	Work Location & Space Requirements	
	[Insert continuity facility or telework location, IT, and communications access needs.]	
	Supporting Activities	
	[Insert essential supporting activities.]	
	Interdependencies	
	[Insert other entities who provide required work or resources. Include mutual aid agreements where applicable.]	
	Expected Costs	
	[Insert the costs associated with the implementation of the essential function.]	

Note: Repeat this table for each EF.

CMEF#3: Coordinate recovery efforts following a disaster to ensure appropriate Federal assistance is delivered.



Note: Repeat this work flow process for each EF.

ESSENTIAL RECORDS AND IT FUNCTIONS

This section addresses essential records management requirements needed to support EFs and sustain legal and financial responsibilities during a continuity event. Identification, protection, and ready availability of databases, software, and electronic and hard copy documents are critical elements of a successful Continuity Plan and program. (Reference CGC pg. 24.)

Identification and Storage

It is critical to thoroughly and accurately identify every document, record, microfilm/fiche, photo, piece of data, software program, or other hard copy or electronic information required to conduct each EF or reconstitute full operations. Identify who is responsible for maintaining this list, and where it is stored.

The organization should establish a system for naming and storing documents that makes them easy to locate on primary or backup storage devices if desktop maps are lost. Consult with the IT division for best practices for naming and storing files, and train staff on these systems.

[Insert office/title] maintains a complete inventory of essential records, along with their locations and instructions for access at **[insert location/office]**.

Table 2: SAMPLE Essential Records Database

Essential Record, File, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Location	Hand Carried to Alternate Location	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

To ensure rapid identification and recovery, essential records will be named and stored according to policies developed by IT. This policy is included in the Essential Records Annex and **[other location(s)]**.

Backup and Protection

Once this has been done, these documents should be formally designated as essential records. As such, they should be stored, backed up, and a Recovery Plan should be identified.

Every essential record should be backed up outside of the organization's servers to ensure they can be accessed if the server room is damaged by the incident. Solutions range in security and cost, so increased protection may need to be included in the multi-year strategic plan (see Budgeting and Acquisition section).

Electronic backup storage options include, but are not limited to contracts with a data storage and recovery facilities, maintaining offsite servers at other locations, cloud storage, portable media such as external hard drives or thumb drives, tape backups, etc.

Hard copy backup storage options include, but are not limited to, maintaining blank copies of documents or forms offsite, utilizing a government or private sector documents storage or library facility, or maintaining secure duplicate files at the alternate location(s).

Electronic records, and the records inventory, are backed-up using **[describe system and/or process]**. Additional protection is provided using **[describe system and/or process(es)]**. If they are lost, recovery will be conducted by **[describe responsible party and/or process]**.

Hard copy records are backed-up using **[describe system and/or process]**. Additional protection is provided using **[describe system and/or process(es)]**. If they are lost, recovery will be conducted by **[describe responsible party and/or process]**.

Recovery

Recovery experts should be identified to salvage damaged records. It may be necessary to obtain contracts prior to an event to assure service within an established timeframe. Copies of the contract should be placed in the Essential Records Database (Table 2).

Document and photo recovery is a very expensive process, so storage and backup protections should be as careful and thorough as possible.

Recovery is expensive, time consuming, and may not be completely effective, so every effort should be made to prevent damage to essential records. If essential records are damaged, recovery will be conducted by **[insert organization]**. Plans to cover the costs of recovery are included in the Budgeting and Acquisition section.

HUMAN RESOURCES

Roles and responsibilities

Include a description of roles and responsibilities for:

- *Senior leadership*
  - *Procedures and authorities for activation of a continuity event*
  - *Adjusted responsibilities to manage the limited EFs*
- *Non-continuity personnel*
- *Continuity Team personnel*
- *[Other personnel as necessary]*

Senior Leadership

Continuity Plan activation is a scenario-driven process that allows flexible, scalable response to all hazards/threats that might disrupt operations. Continuity Plan activation will not be required for all emergencies or disruptions.

The process for activating the continuity plan has three basic steps:

(1) The **[organization head]** is aware of, or is notified, that a disruption to normal operations is planned, is anticipated, or has occurred.

(2) The **[organization head]** evaluates the situation along with its potential, anticipated, or known effects on agency operations and decides whether to activate the Continuity Plan.

(3) The **[organization head]** initiates the process to inform all employees of the situation and the actions they should take.

This process may be repeated several times in relation to a single event. For example, a hurricane is forecast to hit the state. After becoming aware of the initial forecast, leadership may decide only to inform employees that the agency management is aware of the forecast and will be monitoring the situation. As the hurricane comes closer to the state, leadership might decide to close the agency so that employees can take shelter at home. After the hurricane hits, leadership may decide to activate the Continuity Plan.

Based on the type and severity of the emergency, the Continuity Plan may be activated by one of the following methods:

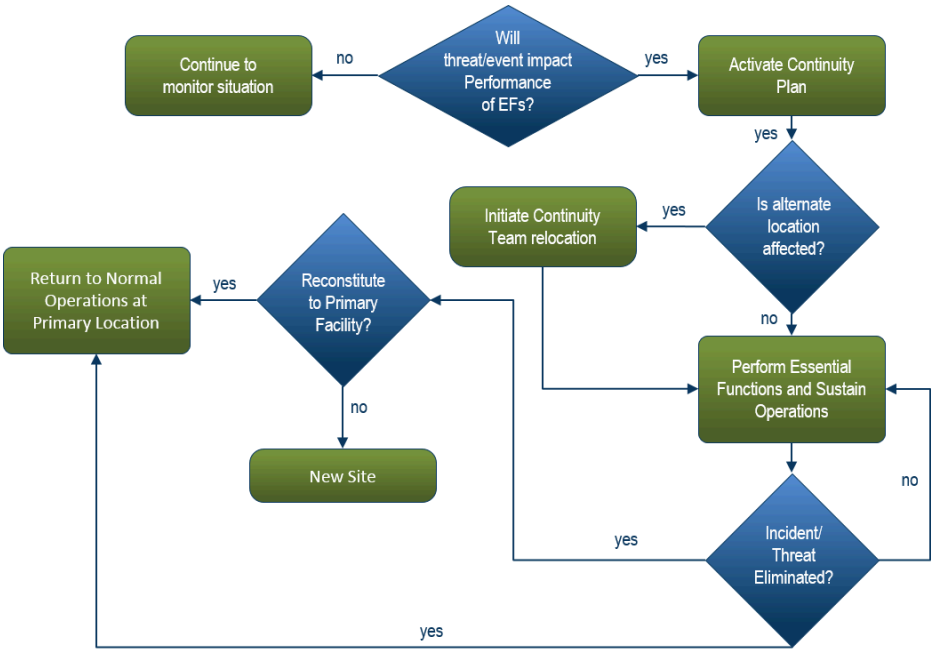
(1) The state governor, county executive or county commissioner, local mayor, city mayor, or city administrator may initiate continuity activation.

(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].**

The decision to activate the Continuity Plan and related actions will be tailored for the situation based on projected or actual impact.

SAMPLE: Decision Process



All Personnel

Every member of the organization will train and prepare in advance for a continuity event so they are prepared to act quickly in an emergency. Each individual 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 a template that can be tailored to meet family-specific planning requirements.

Personnel Accountability

It is important to account for all personnel during a continuity event. The **[insert office/title]** will account for personnel using **[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 intervals. The process will continue until all personnel have been accounted for.

Continuity Personnel

The organization has determined the positions necessary to conduct essential functions, and to authorize and approve the work. Key positions include the Continuity Coordinator, Continuity Team members, senior leadership and their successors, and others who are assigned continuity responsibilities. These individuals will report to the alternate location or other assigned location. A copy of the current roster is found at **[insert location]**. The **[Insert office/title]** is responsible for maintaining the roster and ensuring personnel are correctly matched to required positions.

Table 3: SAMPLE Continuity Personnel Roster

Function	Title/ Position	Name	Telephone Numbers	Additional Information
EF #1: Approve and oversee cleanup of contaminated sites.	Division Head, Enforcement and Remediation Division	John Smith	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses

	Alternate: Deputy Division Head, Enforcement and Remediation Division	*Jane Doe*	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Chief, Enforcement Branch	Sally Dune	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Alternate: Deputy Chief, Enforcement Branch	*Jim Rich*	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses

Table 4: SAMPLE Assignment of Responsibilities

Position	Responsibilities
Organization Head	• Provide overall policy direction, guidance, and objectives for continuity planning. • Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise). • Ensure adequate funding is available for emergency operations. • Ensure all organization components participate in TT&E activities.
Continuity Coordinator/ Manager	• Provide strategic leadership and overarching policy direction for the continuity program. • Serve as the organization continuity program point of contact (POC). • Implement the Continuity Plan when necessary, or when directed by a higher authority. • Maintain orders of succession and delegations of authority. • Update Continuity Plan annually. • Develop and lead continuity training. • Plan continuity exercises. • Update telephone rosters monthly. • Conduct alert and notification tests.
Essential Records Manager	• Review status of essential records, files, and databases. • Provides for proper storage and protection of essential records.
Continuity Personnel	• Be prepared to deploy and support organization EFs 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 in place, if applicable.

Department Directors (*See list of EFs*)	● Appoint a POC for coordination and implementation of the Continuity Plan. ● Keep Continuity Coordinator/Manager informed of any changes in the designation of the office continuity POC. ● Identify EFs to be performed when any element of the organization is relocated as part of the Continuity Plan. ● Identify those functions that can be deferred or temporarily terminated in the event the Continuity Plan is implemented. ● Maintain a current roster of Continuity Team members. ● Maintain current personnel emergency notification, accountability, and relocation rosters. ● Prepare backup copies or updates of essential records. ● Ensure that the time and attendance function is represented on the Continuity Team.

Continuity personnel are responsible for creating and maintaining go kits that are either pre-positioned at the alternate location, or that they will carry with them when they go. The **[insert office/title]** will work with staff to ensure currency of the go kits by **[Insert procedures here, such as having continuity personnel bring kits on annual exercises, quarterly inspections, or establishment of an acquisition program to regularly replace agency-supplied items]**. A typical go kit should contain those items listed in the table below. (www.ready.gov provides a list of items you can choose from to create a kit that works for your needs).

Table 5: SAMPLE Go Kit Contents

Date added	Item
Most recent replacement date mm/dd/yy	

Succession and Delegations of Authority

This section should identify lines of succession for the organization head and key positions required to authorize and approve EFs and reconstitution, and to maintain financial and legal responsibilities.

For each position that requires legal documentation to enable successors to assume responsibilities, a delegation of authority document should be created. It should list the successors in the order they would assume responsibility, outline the legal authority for individuals to make policy decisions during a continuity event, describe the process for transferring authority between the primary job holder and his/her successors, and designate responsibilities that may/may not be assumed. This document should be reviewed by the legal division and signed by primary job holder and successors. Revisions should be distributed to agency personnel as changes occur. (Reference CGC pg. 23-24.)

In the event the **[enter organization head title]** is rendered incapable or unavailable to fulfill their duties, successors have been identified to ensure there is no lapse in decision-making authority.

Orders of succession should:

- *Designate at least three individuals, where possible, to manage EFs and other critical operations.*
- *List successors in the order they would assume the role.*

- *Include devolution counterparts.*
- *Include geographically dispersed individuals, where possible, to ensure at least one candidate who would not be subject to injury or illness in the primary facility.*
- *Be described by positions or titles, rather than names to limit revisions to plan.*
- *Be regularly reviewed by the organization's legal department.*
- *Be designated and maintained as essential records.*

Table 6: SAMPLE Order of Succession List

Position	Designated Successors
Director, Bureau of Water Management	1. Deputy Director, Bureau of Water Management
	2. Division Head, Enforcement and Remediation Division
	3. Division Head, Standards and Planning Division

[Insert office/title] is responsible for ensuring orders of succession are up-to-date, and copies can be found at **[insert location(s)]**. When changes occur, they will be distributed to **[insert offices/groups]**.

When the primary holder of one of these positions, or their acting successor, becomes unreachable or incapable of performing their duties, the **[insert office/title]** will notify the next successor in line and inform other internal and external stakeholders of the substitution.

Successor training will be conducted annually, and the dates and topics will be documented by **[insert office/title]** and stored in the training records **[insert location]** which are essential records.

Delegations of authority are created for each position that requires legal documentation to enable successors to assume responsibilities. These documents:

- *List the successors in the order they would assume responsibility.*
- *Outline the legal authority for individuals to make policy decisions during a continuity event.*
- *Describe the process for transferring authority between the primary job holder and his/her successors.*
- *Designate responsibilities that may/may not be assumed.*

Delegations of authority documents are reviewed by the legal division and signed by primary job holder, successors, the head of the legal division and head of entity. The delegations of authority are:

(1) Are designated and maintained as essential records.

(2) Are written in accordance with applicable laws and organization policy to ensure the organization's EFs continue to be performed.

(3) Outline explicitly 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, including devolution, under which delegations would be activated and terminated.

The organization has informed those officials who might be expected to assume authorities during a continuity situation. Documentation is found at **[insert location(s)]**. Further, these officials are trained at least annually. This training is reflected in agency training records located at **[insert location]**.

The organization has identified the following positions that require delegations of authority:

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

Additional Human Resources Considerations

The continuity program should coordinate with the organization or department/division regarding additional human resources consideration including pay, benefits, employee schedules, and employee assistance. There may be laws or applicable human resource regulations that must be adhered to during a continuity event. Those considerations should be documented here, as well as the point of contact for any questions or concerns during a continuity event. Instructions should include discussing pay and benefits issues with the entity who cuts checks to ensure they align expectations and RTOs. (Reference CGC pg. 21-24.)

The organization has developed guidance and direction for personnel regarding human resource issues during a continuity event. This guidance is integrated into the Human Resources procedures, is maintained by the **[insert office/title]** and stored at **[insert file location (hyperlink or hardcopy)]**. The Continuity Coordinator/Manager works closely with the **[insert appropriate human resources office/title here]** to resolve human resources issues related to a continuity event, update the Continuity Plan, and communicate with managers regarding human resources needs to help continue EFs throughout an event.

The organization 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]**
- Employees with Disabilities: **[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]**

Personal Recovery Assistance

The first priority for personnel will be recovery of their families, pets/livestock, homes, and other things with personal value. Helping these individuals receive the assistance they need not only demonstrates that the organization cares about their employees, but also helps each individual return to productive work as quickly as possible. It may also be the law, and failure to meet requirements could result in heavy fines.

Describe which individuals are responsible for monitoring the well-being and recovery of personnel, and the ways the organization can help keep them safe and healthy, or more quickly recover. This would include detailing, or citing another document that covers, the emergency procedures for filing Workers' Comp claims, and accessing Employee Assistance Programs or other services and resources.

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

Replacing Staff

It may become necessary to hire temporary or permanent replacement staff to ensure the presence of qualified, credentialed workers to perform EFs. Outline the process and responsible parties to ensure rapid replacement of staff.

It may be necessary to augment or replace personnel during a continuity event. The **[insert office]** will be responsible for recruiting, hiring, and on-boarding staff during a continuity event.

COMMUNICATIONS

This section should address communications systems needed to ensure connectivity during emergencies.

The ability to execute EFs depends on the availability to communicate. Resilient communications and IT systems should be utilized to ensure communications can continue, even if some infrastructure becomes disabled, and to support connectivity among organization leaders, internal personnel, and other organizations, customers, and the public during the crisis. (Reference CGC pg. 25-26.)

Resilient Systems

Provide an overview of all methods of communication the organization can use, and where they can cross-cover gaps or losses. This may be done using a table.

The organization has identified multiple, resilient communication systems, located at the primary and alternate location(s), and telework or virtual office location. These systems will support the needs of the organization during all hazards/threats. The organization also maintains communications equipment for use by employees with disabilities and hearing impairment. During a pandemic, when the limiting factor is loss of manpower rather than loss of facility or equipment, the diverse forms of communication can support social distancing efforts. These systems and are documented at **[insert location]**.

Table 7: SAMPLE Communications Systems Tracking Table

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]					

Communications and IT capabilities should be operational within the RTO. Additional detailed information on the communications systems and requirements is found in **[Reference].**

Senior Leadership Communications

The organization possesses communications capabilities to support the organization's senior leadership while they are in transit to alternate location(s), at a remote site, or communications have failed at the primary operating facility. These capabilities are maintained by the **[insert office/title]** and documentation regarding these communications capabilities is found at **[insert location or list capabilities below]**.

Alert and Notification

Explain how the organization will issue initial notification to staff that an incident has occurred. This might include mass notification systems, alarms, public address systems within the building, emails, phone calls, press releases, agency website banners, or other methods of communication.

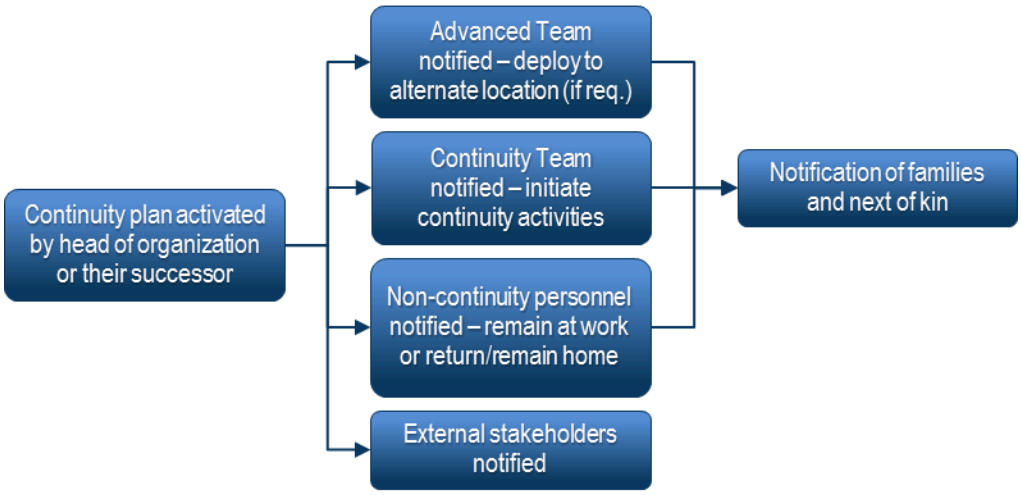
In the event of a potential or actual interruption, **[insert office/title]** will take the following steps to communicate the organization's operating status:

(1) The **[Organization Head]** or designated successor will notify **[insert office/title]** of the Continuity Plan activation.

(2) **[Insert notification steps here. Include methods of notification and required responses to verify that personnel have received the notification. If the organization maintains an advance team to prepare the continuity site for arrival, include here].**

(3) **[Insert office/title]** will notify family members, next of kin, and/or emergency contacts of Continuity Plan activation.

(4) **[Insert office/title]** will notify external stakeholders of activation.



Continuity Event Communications

Once the organization has moved into continuity operations it is important for personnel to remain aware of the recovery status of the workplace, and to know when/if they are required to step into an alternate role. It is also important for the organization to remain aware of the health and personal recovery status of personnel and to provide assistance to utilize the available workforce efficiently. In this section, describe:

- *The expected frequency of ongoing communication.*
- *Who is primarily responsible for ensuring communication.*
- *Whether two-way communication is required to ensure receipt of messages.*

Table 8: SAMPLE Continuity Event Communications Tracking Table

Sender	Receiver	Method	Message	Frequency	Receipt Notification

Contact Rosters

Contact rosters should be maintained in the Communications Annex for:

- *Internal personnel*
- *External stakeholders (partners, media, funding entities, government contacts)*
- *Service providers (vendors, mail and courier services)*

Contact Rosters are maintained by **[insert responsible party]** and stored in the essential records database.

Tracking the Threat

It is important to continue monitoring the situation until the threat ceases to exist. Outline the processes senior management will use to track the development of the incident (via online and broadcast news and weather, emergency services, or other sources) and applying the effects of these developments to:

- *The health and safety of personnel*
- *Execution of EFs*
- *Potential effects on communications and IT systems, facilities, equipment, and other essential resources*

The organization will remain informed of the threat environment using all available means, including:

- Emergency Communications Center
- Regional and local notification systems
- Direction and guidance from higher authorities
- News and weather media

[Head of organization] will evaluate all available information relating to:

- The health and safety of personnel
- The ability to execute EFs
- Changes in threat advisories
- Intelligence reports
- The potential or actual effects on communications systems, information systems, office facilities, and other essential equipment
- The expected duration of the emergency
- **[Insert other agency considerations here]**

ALTERNATE LOCATIONS AND TELEWORK

All organizations should identify and maintain at least one alternate location for the relocation of a limited number of the organization's key leaders and staff. This could include use of another brick and mortar facility, or virtual office options. The alternate location should be located where it will not be vulnerable to the same disrupting events that damage the primary operating facility.

The organization should have guaranteed access to their alternate location within an agreed upon time following initiation of continuity operations. This should allow time for set-up so work can begin within the recovery time objective. Annex 2 of this template contains an Alternate Location MOU/MOA template. (Reference CGC pg. 19-20.)

Space and Infrastructure Summary

When selecting an alternate location, it is important to know the total space, and infrastructure requirements to conduct work. These can be calculated in part by summing the requirements listed in the BPA for each EF. Additional things to consider include access to, or availability of:

- *Backup generators*
- *Equipment (such as computers, print/copy/fax, phones, specialized items)*
- *Bathrooms and break areas*
- *Residential accommodations and transportation*

Describe these features, detailing how the facility meets requirements.

The alternate location(s) provide the following in sufficient quantities to sustain operations until normal operations can be resumed (usually within 30 days):

- Space and equipment, including computer equipment and software. The alternate location can accommodate **[insert number]** personnel. Facility floor plans, equipment inventory, and **[insert other applicable documents]** are found at **[insert location]**.
- Capability to perform EFs within the RTO. The facility will remain available until normal operations can be resumed, often within 30 days.
- Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]**.
- Consideration for health, safety, security, and emotional well-being of personnel. including **[insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security]**.
- Emergency/back-up power capability. Details on the power capability are available at **[insert location]**.

Access to Communications, Internet, and Remote Servers

Determine the number of internet and phone ports, and whether host security allows use of their internet lines. Determine where replacement phone and computer equipment will be stored ahead of time, or procured within the RTO.

Describe how members of the Continuity Team will access the organization's primary servers, backup storage, and essential records database in the event these servers are lost. If remote access will be used to reach servers, ensure there are adequate licenses and that the internet is fast enough to support timely transference of an appropriate volume of data.

The alternate location(s) provides the following infrastructure to ensure access to primary servers, backup storage, and the essential records database:

- Interoperable communications, and connections, for effective interaction. Additional information on continuity communications is found in the Communications section of this plan.
- Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found in the Essential Records section of this plan.

- Systems and configurations that are used to complete EFs. IT support at the alternate location can be accessed by **[insert access to IT support]**. Details on the systems and configurations are available at **[insert location]**.

Contracts

If a contract is necessary to ensure occupancy on demand, it should be obtained before the time of need, and should outline use parameters and limitations. This contract should be classified as an essential record and a copy included in the Alternate Facilities Annex.

A copy of the MOA/MOU is found at **[insert location]** and maintained by the **[insert office name]**.

Maps, Directions, Security, and Access

Personnel must be able to reach the site to begin work within the RTO. Clearly spell out all security and site access requirements. Maps and directions, including at least a primary and secondary route (in case a disruption renders the primary route inaccessible) should be included in the Alternate Location(s) Annex.

The alternate location 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 **[insert entity]**.

(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]

Telework

In order to work remotely, it is usually necessary to have access to information on the organization's servers, backup storage sites, and/or essential records database. Each user must have a computer at home or remote site with adequate capabilities, and that meets the security requirements to access servers and to interface with other systems as required to conduct EFs.

Continuity operations will begin at the date and time stated in the plan activation notification. Within 8 hours of plan activation, the IT manager will determine if the infrastructure in the primary operating facility is accessible and fully functional. The IT manager will provide personnel with the status of the agency's infrastructure and identify which IT resources they should use.

Once continuity operations have begun, all personnel will begin teleworking and will:

- Contact their manager by email, text, or telephone to verify their arrival and ability to telework from their location.
- Upon notification from the IT manager regarding which IT resources will be used, login to the appropriate location.
- Report to their manager their ability to access essential records needed to perform their functions or obstacles they are facing.
- Begin performing EFs or supporting activities within the RTO.

Activation/Relocation

In the event an incident requires activation of an alternate location(s), outline the process by which personnel will be notified and relocated to the site(s). Note: Not all continuity events require the relocation to an alternate location.

Upon activation of the Continuity Plan by **[insert authority]**, EFs may relocate to the alternate location(s). **[Insert office/title]** will notify the point of contact at the alternate location(s) of the activation and need to occupy the space and ensure that the continuity operations can begin within the RTO.

If the emergency occurs during work hours continuity activities will be implemented as follows.

- Advance Team and Continuity Team members will deploy to the designated alternate location from the primary facility or their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees].**
- Non-continuity personnel will receive instructions from **[insert office/title]**. In most situations they will be directed to return home to await further instructions.
- Information will be provided regarding safety precautions and clear routes to use when leaving the primary operating facility.

If the emergency occurs during non-work hours continuity activities will be implemented as follows:

- Advance Team and Continuity Team members will deploy to the designated alternate location 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]**. They should arrive by **[insert time here, such as immediately, time specified during notification, within a pre-designated number of hours or business hours, etc.]**.
- Non-continuity personnel will remain at their residence or other designated location, but must be prepared to replace or augment continuity personnel within **[include hour]** of notification, or as advised. Staff replacements will be coordinated by the **[insert office/title]**.

Non-continuity personnel may be required to replace or augment continuity personnel during activation and should remain available as instructed. Notification of activation will include **[include time from notification till they are expected to arrive for work]**.These activities will be coordinated by the **[insert office/title]**.

The advance team will should arrive and prepare the alternate location(s) for use so that continuity operations can be resumed within the RTO. The advance team will:

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

In-processing procedures 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.]**.

Table 9: SAMPLE Alternate Location Checklist

Alternate Location Checklist
Upon arrival at the alternate location, continuity personnel will:
❑ Check in
❑ Receive instructions and equipment
❑ Report to work station as identified in **[insert location]** or as otherwise designated during the activation process

❑	Retrieve pre-positioned or transported information and resources, and activate specialized systems or equipment
❑	Monitor the status of personnel and resources
❑	Conduct EFs
❑	Prepare and disseminate reports, as required
❑	Comply with any additional continuity reporting requirements
❑	Communicate contact information to family members, next of kin, and emergency contacts
❑	**[Insert additional tasks here]**

RECONSTITUTION

Organizations should identify and outline a plan to return to normal operations once senior management, or their successors, determine the disaster no longer poses a threat. To ensure proper focus on each area of work, separate individuals should staff the Reconstitution Team and Continuity Team. ***Note:*** *Organizations that use a Reconstitution Plan that is separate from their Continuity Plan should reference that plan and include a summary of the information in this section. The referenced Reconstitution Plan should be designated as an essential record. (Reference CGC pg. 29.)*

Procedures

Within **[insert time period]** of an emergency relocation, and after receiving approval from the appropriate state and local law enforcement and emergency services the Reconstitution Team will initiate and coordinate operations to salvage, restore, and recover the primary operating facility and resources:

***Table** 10: SAMPLE Reconstitution Checklist*

Reconstitution Checklist
❑ Identify the Reconstitution Manager for all phases of the reconstitution process.
❑ Reconstitution will commence when the **[Organization Head**] or another authorized person ascertains that the emergency situation has ended and is unlikely to reoccur.
❑ Within **[insert number]** hours of the Continuity Plan activation, each **[Organization Name]** subcomponent will designate a reconstitution POC to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution.
❑ **[Insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**.
❑ **[Organization Name]**, in conjunction with **[insert offices and organizations here]**, will determine how much time is needed to repair the primary operating facility and/or acquire a new facility.
❑ 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.
❑ Before relocating to the recovered or replaced primary operating facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability.
❑ **[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 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.
❑ 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.

Reconstitution Team

Individuals should not be assigned to both the Continuity and Reconstitution Team as both require significant time and effort, and the responsibilities overlap. Reference the roster of Reconstitution Team members (in the Communications Annex).

Describe the expectations for members of the team. These may include:

- *Communication between senior leadership and building managers or repair crews*
- *Recovery of resources from the damaged building (if safe to do so)*
- *Coordination of repairs to re-occupy the damaged facility*
- *Searching for a new permanent or semi-permanent facility*
- *Procuring resources, setting up/installing, and testing the permanent facility for operability*
- *Assisting in creation of a return-to-work schedule to recover operations in the order of greatest need (often the EFs will continue from the alternate location until the new permanent one has been tested and proved fully operational).*

Table 11: SAMPLE Reconstitution Team Responsibility Chart

Position	Responsibilities
Organization Head	• Provide overall policy direction, guidance, and objectives for continuity planning. • Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise). • Ensure adequate funding is available for emergency operations. • Ensure all organization components participate in TT&E activities.
Reconstitution Manager	• Provide strategic leadership and overarching policy direction for reconstitution activities. • Serve as the organization reconstitution POC. • Implement the Reconstitution Plan when necessary, or when directed by a higher authority. • Update Reconstitution Plan annually. • Assemble and train reconstitution team. • Conduct TT&E activities. • Coordinate with Continuity Manager. • Oversee and monitor work on primary facility. • Plan phased transition of EF to primary facility.
Reconstitution Team Personnel	• Be prepared to deploy and support reconstitution activities • Provide current contact information to manager. • Be familiar with reconstitution planning and know individual roles and responsibilities in the event of activation. • Participate in continuity training and exercises as directed.

DEVOLUTION

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 or incapable of, supporting execution of the organization's EFs from either its primary operating facility or alternate location. In some instances, devolution may not be a viable option for an organization. If EFs require widely-divergent expertise, you may wish to have more than one devolution partner. ***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 separate Devolution Plan should be designated as an essential record. (Reference CGC pg. 20-21.)*

Contract

Include a copy of the contract if devolution will be to a separate organization.

The organization is prepared to transfer all its EFs (or list specific ones) and responsibilities to personnel at **[alternate division or organization, and location]** if events render leadership or staff unavailable to support the execution of EFs.

[Insert office/title] maintains responsibility for ensuring the currency of the Devolution Plan. This plan:

- Is located at **[insert location]**.
- Includes program plans and procedures, budgeting and acquisitions, EFs, orders of succession and delegations of authority specific to the devolution site, interoperable communications, essential records management, staff, TT&E, and reconstitution.
- Identifies prioritized EFs, defines tasks that support, and resources to facilitate, those functions. The list of prioritized EFs for devolution is found at **[insert location]**.
- Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and the authority to perform EFs and activities when the devolution option of the Continuity Plan is activated. The devolution personnel roster is found at **[insert location]**.
- Identifies events that might "trigger" devolution and specifies how and when control and direction of the operations will be transferred between entities. Devolution activation protocols are found at **[insert location or insert below]**.
- Lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of EFs to the devolution site. The list of necessary resources for devolution is found at **[insert location]**.
- Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue EFs 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]**.
- Establishes and maintains the ability to restore, or reconstitute, authority to the primary organization upon termination of devolution.
- Outlines the devolution organization's responsibilities to maintain situational awareness and ongoing communications with senior leadership and personnel.
- Provides an overview of procedures outlining workforce protection strategies to prevent the need to devolve. This may include strategies such as social distancing, telework, split shifts, or increased workplace hygiene.

Transfer of Essential Functions

Outline the procedures for transferring responsibility for the implementation of EFs to a different organization, or geographically separated division within the primary organization.

Continuity Program Management

BUDGETING AND ACQUISITION

Identify the resources necessary for successful implementation and management of the continuity program including:

- *Personnel*
- *Communications and IT equipment, connections, and security*
- *Facilities and infrastructure*
- *Transportation and accommodations*

In addition, the organization should outline strategies to limit loss, and mitigate and/or re-allocate to cover costs of recovery. Multi-year strategic planning may be necessary to spread the cost of complex, expensive items over multiple budget years. (Reference CGC pg. 34-35.)

Within the **[organization policy title(s)]** the organization budgets for resources and capabilities essential to continuity operations. A copy of the continuity budget is found at **[insert location, office]**.

Risk management methodology **[insert methodology here]** is used to identify, prioritize, and justify the reallocation of budgetary resources. A copy of the risk management documents can be found **[insert location, office]**.

The organization 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]**.

Contracts vital to the support of EFs, include contractor statements of work covering provision of staffing, services, and resources during emergency conditions. A list of vital contracts is found at **[insert location]** and is maintained by the **[insert office/title]**. During an emergency, the **[insert office/title]** is responsible for oversight and handling of emergency work by contractors.

Cost Prevention, Mitigation, and Reallocation

Include an overview of the BIA, and strategies that are currently used, or are goals for future program development that would:

- *Lessen the recovery cost for the most likely disasters*
- *Transfer risk to another entity*

Consider current budget income and allocations, as well as funding constraints or covenants that limit re-allocation of funds to determine where the increased costs of continuity and recovery operations would be obtained.

Emergency Procurement

Summarize or name the location of SOPs or other documents that detail the abilities and limitations of emergency procurement, and the individual or department responsible for conducting these activities.

During continuity operations, it may be necessary for the organization to procure replacement personnel, equipment, and supplies on an emergency basis to sustain operations until normal operations can be resumed. **[Insert office/title/authority]** maintains authority for emergency acquisition. Instructions for this process are found **[insert instructions below or insert location of instructions if found in another document]**.

MULTI-YEAR STRATEGIC PLANNING

Describe how long-range planning over multiple budget years will be used to obtain strategies, resources, or services that would improve the continuity response, but which are currently unaffordable. Include things that could be procured in increments as well as those which may take time for funding sources to approve. (Reference CGC pg. 35.)

A multi-year strategic plan has been established that provides for development, maintenance, and annual review of continuity capabilities, including:

- EFs
- Short- and long-term goals for plan and programs
- Potential obstacles to implementing the program, and strategies for addressing them
- Planning/TT&E activities and milestones
- Continuity Team members
- Infrastructure (IT, communications, etc.)
- Transportation and accommodations
- Other resources needed to support the program

Risk management principles have been used to assess both the primary and alternate location to ensure appropriate operational readiness decisions based on probability of incident, likely consequences; geographic dispersion into daily operations; security strategies, physical security to protect personnel and facilities and information security to protect plans and essential records.

The organization has developed a Continuity Multi-year Strategic Plan that provides for development, maintenance, and annual review of continuity capabilities, and integrates continuity into its multi-year strategic budget and links the budget directly to objectives and metrics set forth in the plan. A copy of this plan is found **[location]**.

TRAINING, TESTING, AND EXERCISING (TT&E)

All organizations should develop and maintain a continuity TT&E program that includes:

- *Conducting and documenting TT&E activities*
- *Identifying the components, processes, and requirements for training, and preparedness of personnel to support the continuation of EFs.*

(Reference CGC pg. 31-32.)

The organization participates in the full spectrum of readiness and preparedness activities to ensure personnel can continue EFs in an all-hazard/threat environment. The readiness activities are divided into two key areas:

- Organizational readiness and preparedness
- Staff readiness and preparedness

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

The organization has established a TT&E program to support preparedness and validate continuity capabilities during any disruption of operations. It is essential to demonstrate, assess, and improve the ability to execute the continuity program procedures.

All continuity TT&E events are documented, including the

- Event date,
- Event type,
- Participants
- Test results,
- Feedback forms, participant questionnaires, and other documents resulting from the event.

Documentation is managed by the **[insert office/title]** and is found at **[insert location]**.

***Table** 12: SAMPLE TT&E Documentation*

Event	Event Type and Purpose	Date	Confirmation Initials or Signature
Continuity Facility Communications Check	Test and validate equipment to ensure internal / 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

Training

Include a summary plan for each of the following:

- *Awareness training for all personnel*
- *Cross training for continuity, reconstitution, and devolution staff*
- *Succession training*

Testing and Exercises

Describe how each component will be rigorously tested for areas of improvement. Over time exercises should cover every section of the plan, and based on prior lessons learned should shift between:

- *Simple tests and comprehensive examinations*
- *Testing of single components, multiple sections, or the entire plan*
- *Tests and exercises help planners assess, and 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.*

*FEMA's **Continuity Assessment Tool** contains training and exercise objectives, which may be used to guide an organization in building a TT&E program that supports a well-rounded continuity program. The tool divides the objectives into three implementation categories: initiating, building, and maintaining a continuity capability. The table below lists the training and exercise objectives and the description for each "objective achieved."*

Continuity Training and Exercise Objectives	Description of Objective Achieved
Initiating	
Training: Have those individuals with continuity roles and responsibilities received continuity training?	All individuals with continuity roles and responsibilities, including leadership and the planning team, have received continuity training. The continuity planners/managers have received advanced training, such as achieving their FEMA Level I and Level II Continuity Practitioner certificate.
Exercising: Has the organization identified and incorporated the results from previous exercises and real-world events to guide the development of the continuity program?	The organization used results from all previous exercises and real-world events to guide current planning efforts.
Building	
Training: Have all staff members completed continuity awareness training?	All required staff completed awareness training on the continuity plan and roles, responsibilities, and expectations upon its activation.
Training: Has the organization trained continuity personnel on continuity plans and strategies?	All primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training.
Training: Has continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally)?	The organization trained all continuity planning team members on other inter- and intra-organizational continuity programs.
Exercising: Has the organization conducted testing of alert and notification procedures?	The organization tests alert and notification procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests.
Exercising: Has the organization conducted testing of activation procedures?	The organization tested activation procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests.

Exercising: Has the organization conducted testing of accountability procedures?	The organization tested accountability procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests.
Exercising: Has the organization conducted testing of the interoperable and available communications capabilities that support identified essential functions?	The organization tested communications capabilities with internal and external partners and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests.
Exercising: Has the organization conducted testing of critical systems and equipment and strategies to meet associated recovery time objectives?	The organization tested recovery time objectives for critical systems and equipment and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests.
Exercising: Has the organization regularly conducted organization-wide continuity exercises that include exercising of mitigation options that support the continuance of essential functions?	The organization, including senior leadership, exercised the comprehensive continuity plan via functional or full scale exercises. The organization incorporated all or parts of the plan into organization-wide exercises and implemented improvement action planning.
Exercising: Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after continuity plan activation?	The organization, including senior leadership, exercises the reconstitution plan via functional or full scale exercises. All or parts of the plan are incorporated into organization-wide exercises. Improvement action planning is being implemented.
Exercising: Has the organization exercised with internal and external partners to coordinate continuity plans and programs?	The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs with the organization's continuity plan and program and participated in associated improvement action planning to improve partner coordination.
Maintaining	
Training: Has the organization regularly trained continuity personnel on continuity plans and strategies?	All primary and alternate continuity personnel, to include leadership and/or elected officials, received up-to-date training within the past year and annually over a multi-year period.
Training: Have continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally) on a regular basis?	Continuity personnel participated in regular training with and on other inter- and intra-organizational continuity plans and programs within the past year and annually over a multi-year period.
Exercising: Has the organization conducted regular testing of alert and notification procedures?	The organization tested alert and notification procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period.
Exercising: Has the organization conducted regular testing of activation procedures?	The organization tested activation procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at at least annually over a multi-year period.

Exercising: Has the organization conducted regular testing of accountability procedures?	The organization tested accountability procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period.
Exercising: Has the organization conducted regular testing of the interoperable and available communications capabilities that support identified essential functions?	The organization tested communications systems with internal and external partners within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period.
Exercising: Has the organization conducted regular testing of critical systems and equipment and strategies to meet associated recovery time objectives?	The organization tested recovery time objectives for critical systems and equipment within the past year by incorporating the test into an organization-wide exercise. Testing occurs at least annually over a multi-year period.
Exercising: Has the organization regularly conducted organization-wide continuity exercises?	The organization, including senior leadership, exercised the comprehensive continuity plan in a functional or full-scale exercise within the past year and annually over a multi-year period.
Exercising: Has the organization progressively exercised its continuity plan and procedures?	The organization conducted a functional or full-scale exercise of its continuity plan within the past year.
Exercising: Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after continuity plan activation?	The organization, including senior leadership, exercised the reconstitution plan in a functional or full-scale exercise within the past two years and biennially over a multi-year period.
Exercising: Has the organization regularly exercised with internal and external partners to coordinate continuity plans and programs?	The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs in a functional or full-scale exercise within the past year and has exercised annually over a multi-year period.

After-Action Evaluation and Improvement Planning

Each exercise or actual even should be followed by an after-action evaluation that allows participants and observers to record their insights and recommendations for improvement. (Reference CGC pg. 32.)

A comprehensive debriefing or hot wash is conducted after each exercise, allowing participants to identify weaknesses in plans and procedures and recommend revisions to the organization's continuity plan. Documentation from TT&E hot washes is found **[insert location]**.

A corrective action plan (CAP) is completed to document and prioritize, issues identified during TT&E activities, assessments, and emergency operations. The CAP incorporates evaluations, after action reviews (AARs), and lessons learned. CAP is maintained by the **[insert office/title]** and documentation is found at **[insert location]**.

Table 13: SAMPLE Corrective Action Program Documentation

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

APPENDIX A: LIST OF SUPPORT APPENDICES

Insert Continuity Plan specific appendices here. Such as:

- Business Process Flows
- Contact Rosters
- Communication Plan/Matrices
- Mutual Aid Contracts
- Maps/Directions
- Continuity Team Checklists

APPENDIX B: AUTHORITIES AND REFERENCES

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

AUTHORITIES and REFERENCES:

1. Continuity Guidance Circular (CGC) dated February 2018.
2. **[Enter title of organizational policy or directive here].**
3. **[Enter title of organizational policy or directive here].**
4. **[Enter title of organizational policy or directive here].**
5. **[Enter title of state policy or directive here].**

APPENDIX C: ACRONYMS

Acronym	Definition
AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assessment Tool
CGC	Continuity Guidance Circular
EF	Essential Function
IT	Information Technology
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
POC	Point of Contact
RTO	Recovery Time Objective
SLA	Service Level Agreement
SOP	Standard Operating Procedure
TT&E	Training, Testing, & Exercise
BIA	Business Impact Analysis
BPA	Business Process Analysis
EF	Essential Function
IT	Information Technology
POC	Point of Contact
RTO	Recovery Time Objective
SOP	Standard Operating Procedure

APPENDIX D: PLAN MAINTENANCE

Annual Review

On an annual basis, the Continuity Plan and program elements (e.g., EFs, BIA, and BPA) should be reviewed and updated. The date of the review and the names of personnel conducting the review should be documented as proof that the review occurred.

Once a year, **[insert organization]** reviews its Continuity Plan, components, and supporting elements, and makes any required updates or changes.

***Table** 14: SAMPLE Continuity Program Review Table*

Element Reviewed	Date of Last Review	Individuals Conducting Review
Continuity Plan		
Essential Functions		
Risk Assessment		
Business Impact Analysis		
Business Process Analysis		
Alternate Location(s) Suitability and Functionality		
Alternate Location(s) MOA/MOU		
Continuity Communications' ability to support Essential Functions fully		

Record of Distribution

The record of distribution may be used to indicate the title and the name of the person(s) receiving the plan, their organization, the date of delivery, the method of delivery, and the number of copies delivered. This record verifies that individuals and organizations acknowledged their receipt, review, and/or acceptance of the plan.

***Table** 15: SAMPLE Continuity Plan Distribution Record*

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

ANNEX 1: JOB AID – Synchronization Matrix

The Continuity Synchronization Matrix outlines the responsibilities of the required personnel during the four phases of continuity.

	Phase I: Readiness and Preparedness	Phase II: Alert and Notification	Phase III: Continuity Operations	Phase IV: Reconst
Senior Leadership	❑ Ensure all organization employees understand the plan. ❑ Provide overall policy direction, guidance, and objectives for continuity planning. ❑ Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise). ❑ Ensure adequate funding is available for emergency operations. ❑ Ensure all organization components participate in continuity exercises.	❑ Activate Continuity Plan. ❑ Approve relocation and telework options ❑ Receive updates; provide guidance on performance of essential functions. ❑ Delegate authority (if required).	❑ Coordinate with the Continuity Manager. ❑ Maintain situational awareness. ❑ Monitor conduct of continuity operations. ❑ Provide guidance as required. ❑ Ensure appropriate resources are available.	❑ Provide visible le to reconstitution operations
Continuity Manager	❑ Provide strategic leadership and overarching policy direction for the continuity program. ❑ Serve as the organization Continuity Program POC. ❑ Implement the Continuity Plan when necessary, or when directed by a higher authority. ❑ Update and promulgate orders of succession and delegations of authority. ❑ Update Continuity Plan annually. ❑ Develop and lead Continuity training. ❑ Plan Continuity exercises.	❑ Receive notice of continuity event ❑ Assess situation ❑ Initiate Alert/Activation of CT ❑ Notify/Status of Continuity Facility ❑ Establish contact with Senior Agency leaders ❑ **Decision**: Relocate to Continuity Facility or Devolution to other agency(s) ❑ Coordinate w/PIO, HR, Fac Mgr ❑ Determine Telework options ❑ Receive periodic updates from CT ❑ Provide updates to senior leaders	❑ Monitor conduct of Essential Functions ❑ Mitigate disruptions ❑ Ensure availability of required resources ❑ Monitor expenditures and documentation ❑ Oversee integration of temp hires ❑ Emphasize safety ❑	❑ Notify external p of status of retu primary facility ❑ Conduct Hotwas Continuity Ops b support agencies/person ❑ Lead in the deve of AAR of Contin Operations ❑ Develop Correct Action Plan (CAP ❑ Resume Phase I

	❑ Update telephone rosters monthly. ❑ Conduct alert and notification tests. ❑ Conduct TT&E. ❑ Ensure Team is equipped and has access to all essential records and supporting materials.	❑ Notify external partners of relocation		
Continuity Team (CT)	❑ Review and understand responsibilities related to continuity support functions at alternate location. ❑ Provide current contact information to supervisor and Continuity Manager. ❑ Participate in continuity TT&E.	❑ Alert all CT personnel ❑ CT reports notification of all members and names of non-responders ❑ Retrieve personal "Go Kits" ❑ Accountability of CT Members ❑ CT Ldr provides Situation Brief ❑ Depart for Alternate Location ❑ Begin to track expenditures	❑ Verify status - needed resources/requirements ❑ Ensure supplies on hand for 30 days ops ❑ Inventory materials and utility functions ❑ Conduct Essential Functions/Continuity Ops ❑ Update and protect essential records ❑ Provide periodic status reports	❑ Establish schedu reconstitute Ess Functions at pri facility ❑ Coordinate with Reconstitution M ❑ Relocate/Recons IAW schedule ❑ Conduct Hotwas ❑ Reconstitute Sec Kits"
Reconstitution Manager	❑ Establish reconstitution policies and guidance ❑ Assemble and train reconstitution team. ❑ Conduct TT&E activities. ❑ Coordinate with Continuity Manager.	❑ Assess primary facility ❑ **Decision:** Decide if primary facility is suitable for continued use ❑ Coordinate with Security Team ❑ Notify Continuity Manager ❑ Initiate calls to Reconstitution Team ❑ Assemble Reconstitution Team ❑ Begin reconstitution planning ❑ Initiate operations to salvage, restore ❑ and/or recover building, equipment, and systems ❑ Implement emergency contracts	❑ • Develop Reconstitution Plan ❑ Oversee and monitor work on primary facility ❑ Plan phased transition of essential functions to primary facility ❑ Plan for: ○ Standard Continuity Transition to normal operations ○ Devolution to normal operations	❑ **Decision:** Prima new) facility can Essential Functio ❑ Inform Senior Le ❑ Provide instructi resumption of n operations ❑ Supervise orderl of personnel, su and equipment primary facility ❑ Conduct After A Review/Develop
[Insert other positions as required]	❑	❑	❑	❑

ANNEX 2: JOB AID – Alternate Location MOU Template

Sample Memorandum of Agreement Template
Alternate Location

The following outline should be used as a template to begin the process of creating a Memorandum of Agreement (MOA) with a facility that shall be used as an alternate location during a continuity event. This template is not intended to supplant any advice or review by organizational legal counsel. These agreement components are suggestions and should be used in whole or in part as they pertain to the organizations' specific needs. Instructions and unnecessary text should be deleted before implementing the agreement. Organization legal counsel should be consulted prior to and during the process of securing an alternate location.

Memorandum of Agreement

BETWEEN

[INSERT ENTITY 1 – TENANT]

AND

[INSERT ENTITY 2 – HOST]

1. **PARTIES.** The parties of this Memorandum of Agreement (MOA) are the [ENTITY 1] and the [ENTITY 2].
2. **AUTHORITY.**
    a. [INSERT APPLICABLE AUTHORITY].
    b. [INSERT APPLICABLE AUTHORITY].
    c. [INSERT APPLICABLE AUTHORITY].
3. **PURPOSE.** This MOA shall codify the terms and conditions established by the [ENTITY 2] to grant [ENTITY 1] access to, but not exclusive use of, the premises except as provided herein as a continuity alternate location: [INSERT FACILITY NAME] pursuant to [ENTITY 1]'s Continuity Plan. Said facility shall be used for the purpose of:
    a. [INSERT ESSENTIAL FUNCTIONS].
    b. [OTHER SPECIFIC CONDITIONS UNDER WHICH ENTITY 1 WOULD REQUIRE USE OF THE FACILITY].
4. **DESCRIPTION OF THE PREMISES.** The [ENTITY 2] agrees to provide use of the premises located at [INSERT FACILITY ADDRESS] to [ENTITY 1] as a temporary alternate location for continuity operations, said premises more particularly described as the [INSERT LOCATION DETAILS].
    a. This space is approximately [#] square feet more or less.
    b. The premises contains the following [INSERT EQUIPMENT OR ADDITIONAL FACILITY CHARACTERISTICS].
    c. [ENTITY 1] shall not make any alterations, additions, or betterments, except in accordance with the terms of this Agreement or written approval by [ENTITY 2].
5. **RESPONSIBILITIES.**
    a. Responsibilities of [ENTITY 1]:
        i. Prior to occupancy, [ENTITY 1] shall complete a facility inspection overview and document the condition of the premises. Each party shall receive a copy of the inspection document signed by each party's representative conducting the inspection. (SEE FACILITY INSPECTION DOCUMENT IN APPENDIX A-3.)

ii. [ENTITY 1] will comply with [ENTITY 2]'s procedures and requirements for use of the facilities and any issues or questions shall be promptly communicated to the [ENTITY 2] manager/supervisor, or designee.

iii. [ENTITY 1] shall be responsible for any damages caused to the property which is the subject of this MOA, and for the acts or omissions of their employees that may cause injury or damage to third parties to the extent provided by and subject to the provision of the [INSERT LEGAL CITATION IF APPLICABLE].

1. This provision shall survive the expiration or termination of this Agreement and [ENTITY 1]'s obligation hereunder shall apply whenever [ENTITY 2] incurs costs or liabilities for [ENTITY 1]'s actions/use of the premises.

iv. [ENTITY 1] shall provide and use its own [LIST EQUIPMENT].

v. [ENTITY 1] shall coordinate the times, dates, and duration of any activities which would involve a partial or complete use, such as training and exercise activities, with the [ENTITY 2] at least [XX] months in advance to eliminate or avoid any confusion or disruption to previously planned or scheduled activities.

vi. [ENTITY 1] shall utilize facilities during its duty hours; however, outside duty hours may be required and shall be coordinated with [ENTITY 2].

vii. [ENTITY 1] shall, at the conclusion of each use and occupancy of the utilized premises, surrender to the [ENTITY 2], in the same or better condition as they existed when initially occupied by [ENTITY 2], less and except ordinary wear and tear. At the conclusion of each use, [ENTITY 1] shall with a representative from the [ENTITY 2] complete a facility inspection and overview documenting the condition of the premises, and that they have been restored to the same condition as existed before their use by [ENTITY 1], less and except ordinary wear and tear. Each party shall receive a copy of this final inspection document signed by each party's representative conducting the inspection.

viii. [ENTITY 1] shall provide its own physical security on the premises, as it deems necessary and appropriate as its sole and exclusive discretion.

ix. [ENTITY 1] will provide the [ENTITY 2] with a list of its authorized personnel or contractors with access to the premises and comply with any applicable [ENTITY 2] procedures.

x. [INSERT ADDITIONAL RESPONSIBILITES OF ENTITY 1].

b. Responsibilities of [ENTITY 2]

i. [ENTITY 2] has agreed to make the above described premises available to [ENTITY 1] for not less than [#] days, except as set forth herein for the above stated reasons.

ii. [ENTITY 2] will coordinate closely with [ENTITY 1] to provide access to the previously described premises within [#] hours of a request and [ENTITY 1] will provide the [ENTITY 2] with a list of its authorized personnel or contractors and comply with any applicable [ENTITY 2] procedures. The [ENTITY 2] will provide [ENTITY 1] with a list of personnel authorized to grant access to the designated premises.

iii. [INSERT ADDITIONAL RESPONSIBILITES OF ENTITY 2]

6. **POINTS OF CONTACT.** The following persons are designated as the respective points of contact for matters related to this MOA.

[ENTITY 1]	[ENTITY 2]
y:	y:
ss:	ss:
ate/Zip:	ate/Zip:
ess Phone:	ess Phone:
hone:	hone:

Each party is responsible for notifying the other in writing of changes to POC information.

7. **HAZARDOUS MATERIALS.** No hazardous materials shall be brought on to the property identified in this MOA or into facility, including the operations area identified in this MOA, without the knowledge and consent of the [ENTITY 2].
8. **SEVERABILITY.** Nothing in this agreement is intended to conflict with current Federal or State law, rules, or regulations, or the directive of [ENTITY 1] or the [ENTITY 2]. If a term of this MOA is inconsistent with any such authority, then the term shall be rendered invalid, but the remaining terms and conditions of this agreement shall remain in full force and effect.
9. **EFFECTIVE DATE.** The terms of this agreement shall be effective on the date of the last signature of the authorized representatives of all parties.
10. **DURATION.** The terms of this agreement shall be [#] years from its effective date. This MOA and Addendums, if any, may be extended by the parties by executing the attached Addendum (see Appendix A-2).

11. **MODIFICATION.** Any modification of this MOA must be set forth in writing signed by both parties hereto. Disputes regarding the terms and conditions of this MOA will be resolved by the [ENTITY 2]'s leadership after consultation with the [ENTITY 1].
12. **TERMINATION.** Either party may terminate this agreement upon 30 days written notice to the other party.
13. **NOTICE.** Notice to a party to the agreement shall be sufficient by electronic mail (email) to the POC, and shall be deemed received on the same day it was sent.
14. **LIABILITY.** Nothing in this Agreement is intended to conflict with current law or regulation or the directives of [ENTITY 1] or the [ENTITY 2]. If a term of this Agreement is inconsistent with such authority, then that term shall be invalid, but the remaining terms and conditions of this Agreement shall remain in full force and effect.
    a. Any information shared under this Agreement will comply with the Privacy Act, and to the extent required and allowable, the Freedom of Information Act (FOIA), any other applicable statutes, Executive Order, or regulations.
    b. This Agreement does not confer or create any right, benefit, or trust responsibility, substantive or procedural, enforceable at law or equity, by any third person or party (public or private) against the United States, its agencies its officers, or any person; or against the [ENTITY 2] their officers or employees or any other person.
    c. The parties agree to be responsible for the negligent or wrongful acts or omissions of their respective employees arising under this Agreement. The parties agree – subject to any limitations imposed by law, rule, or regulation – to cooperate in good faith to resolve any claims promptly and, whenever appropriate, without litigation. For all claims or suits arising under this Agreement, each party's designated legal representatives will, within seven calendar days of receipt, provide each other's designated legal representatives copies of any documents memorializing such claims.
15. **NON-FUND OBLIGATING AGREEMENT.** Nothing in this agreement shall authorize either party to obligation or transfer any funds, or shall be construed as obligating or expending funds in advance of, or in excess of those funds apportioned or appropriated for [ENTITY 1] by [APPROPRIATING BODY]. Any specific work or activity that involved the transfer of funds will require execution of a separate agreement and will be contingent upon the availability of appropriated funds. Such activities must be independently authorized by appropriate statutory authority. This agreement does not provide such authority.
16. **MERGER.** This agreement represents the complete and entire Agreement of the parties reduced to writing and said Agreement may not be changed, altered, or amended except by a document of equal dignity executed by all parties.

APPROVED BY:

[ENTITY 1]

By:

_____

[NAME]

[TITLE]

Date:_____

[ENTITY 2]

By:

_____

[NAME]

[TITLE]

Date:_____

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Appendix A-I:

Map

[INSERT MAP(S) OF FACILITY]

Appendix A-2

Addendum Number [#] to MOA

Between

[ENTITY 1] and [ENTITY 2]

Paragraph 9 is amended to extend the date of the expiration of the Agreement from ___ to ____. All of the other terms and conditions of the original Agreement shall remain in force and effect.

Executed this_____day of _____ 20__.

APPROVED BY:

[ENTITY 1]	[ENTITY 2]
By:	By:
_____	_____
[NAME]	[NAME]
[TITLE]	[TITLE]
Date:_____	Date:_____

Appendix A-3

Alternate Location Inspection Document Template

Facility Address: [TBD]			
Inspection Factors	**Yes**	**No**	**Mitigation Options Available**
The facility is sufficiently distanced from the primary facility.			
The facility is sufficiently close to lodging to support deployed continuity personnel at or near the facility.			
The facility has sufficient space to accommodate ERG staff and equipment required for essential functions.			
The facility can accommodate the following pre-positioned resources: ● [List resources] ● [List resources] ● [List resources]			
The facility provides for logistical support, services and infrastructure systems (e.g., water, electrical power, heating and air conditioning).			
The facility has physical security and access control capabilities.			
The facility can support 24/7 operations if required.			
The facility is located within acceptable proximity to food, water, fuel, and medical treatment facilities.			
The facility is located where vendor support can be acquired if necessary.			
Continuity communications and IT infrastructure can be established.			
The facility has backup power generation.			
The facility can accommodate communications requirements.			
[ADD ADDITIONAL FACTORS AS NEEDED.]			
[ADD ADDITIONAL FACTORS AS NEEDED.]			

The facility was inspected by:

_____ _____

[NAME] [NAME]

[TITLE]

[ENTITY 1]

Date:_____

[TITLE]

[ENTITY 2]

Date:_____

ANNEX 3: Continuity Plan Outline

Continuity Plan

[Department/Agency/Organization Name]

[Month Day, Year]

[Department/Agency/Organization Name]

[Street Address]

[City, State Zip Code]

[Department/Agency/Organization Symbol/Logo]

August 2018

PROMULGATION STATEMENT

[INSERT Promulgation Statement here.]

CONFIDENTIALITY STATEMENT

[INSERT Confidentiality Statement here.]

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ESSENTIAL FUNCTIONS

[Insert summary narratives below, or use the table provided.]

Business Impact Analysis Summary

[INSERT Business Impact Analysis summary here.]

Essential Functions and Resource Summary

[INSERT Business Process Analysis summary here.]

Support Functions

[INSERT summary of essential functions support activities here.]

Interdependencies

[INSERT description of interdependencies here.]

Mutual Aid

[INSERT mutual aid associated with essential functions here.]

Expected Costs

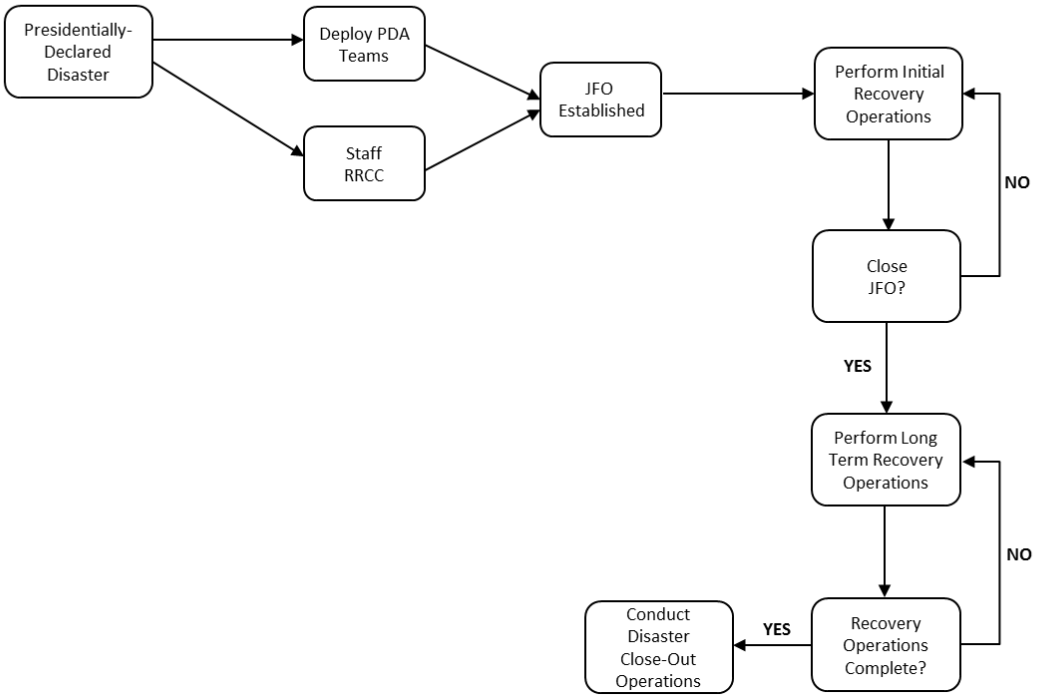
[INSERT expected costs associated with essential functions here.]

Table 1: SAMPLE Essential Function Table

Essential Function	Recovery Time Objective	Responsible Personnel
[Insert organizational essential function here]	[List max time to resume function.]	[List staff and managers responsible for essential function.]
	Resources	
	[Insert required equipment, supplies, records, etc.]	
	Work Location & Space Requirements	
	[Insert continuity facility or telework location, IT, and communications access needs.]	
	Supporting Activities	
	[Insert essential supporting activities.]	
	Interdependencies	
	[Insert other entities who provide required work or resources. Include mutual aid agreements where applicable.]	
	Expected Costs	
	[Insert the costs associated with the implementation of the essential function.]	

Note: Repeat this table for each EF.

CMEF#3: Coordinate recovery efforts following a disaster to ensure appropriate Federal assistance is delivered.



Note: Repeat this work flow process for each EF.

ESSENTIAL RECORDS AND IT FUNCTIONS

Identification and Storage

[INSERT essential records list and database here.]

Table 2: SAMPLE Essential Records Database

Essential Record, File, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Location	Hand Carried to Alternate Location	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

Backup and Protection

[INSERT process for backing up and protection essential records here.]

Recovery

[INSERT process for restoring damaged records here.]

HUMAN RESOURCES

Roles and responsibilities

[INSERT a description of roles and responsibilities for personnel here or use the table provided.]

Senior Leadership

[INSERT a description of roles and responsibilities for senior personnel here.]

All Personnel

[INSERT a description of roles and responsibilities for organization personnel here.]

Personnel Accountability

[INSERT guidelines for personnel accountability here.]

Continuity Personnel

[INSERT a description of roles and responsibilities for Continuity Team personnel here.]

Table 3: SAMPLE Continuity Personnel Roster

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

Table 4: SAMPLE Assignment of Responsibilities

Position	Responsibilities
Organization Head	● Provide overall policy direction, guidance, and objectives for continuity planning. ● Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise). ● Ensure adequate funding is available for emergency operations. ● Ensure all organization components participate in TT&E activities.
Continuity Coordinator/ Manager	● Provide strategic leadership and overarching policy direction for the continuity program. ● Serve as the organization continuity program point of contact (POC). ● Implement the Continuity Plan when necessary, or when directed by a higher authority. ● Maintain orders of succession and delegations of authority. ● Update Continuity Plan annually. ● Develop and lead continuity training. ● Plan continuity exercises. ● Update telephone rosters monthly. ● Conduct alert and notification tests.
Essential Records Manager	● Review status of essential records, files, and databases. ● Provides for proper storage and protection of essential records.
Continuity Personnel	● Be prepared to deploy and support organization EFs 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 in place, if applicable.
Department Directors (*See list of EFs*)	● Appoint a POC for coordination and implementation of the Continuity Plan. ● Keep Continuity Coordinator/Manager informed of any changes in the designation of the office continuity POC. ● Identify EFs to be performed when any element of the organization is relocated as part of the Continuity Plan. ● Identify those functions that can be deferred or temporarily terminated in the event the Continuity Plan is implemented. ● Maintain a current roster of Continuity Team members. ● Maintain current personnel emergency notification, accountability, and relocation rosters. ● Prepare backup copies or updates of essential records. ● Ensure that the time and attendance function is represented on the Continuity Team.

Table 5: SAMPLE Go Kit Contents

Date added	Item

Most recent replacement date mm/dd/yy	

Succession and Delegations of Authority

[INSERT lines of succession and delegations of authority here.]

Table 6: SAMPLE Order of Succession List

Position	Designated Successors
Director, Bureau of Water Management	1. Deputy Director, Bureau of Water Management
	2. Division Head, Enforcement and Remediation Division
	3. Division Head, Standards and Planning Division

Additional Human Resources Considerations

[INSERT guidelines for additional human resources considerations here.]

Personal Recovery Assistance

[INSERT a description personal recovery assistance offered by the organization here.]

Replacing Staff

[INSERT guidelines for replacing or augmenting staff here.]

COMMUNICATIONS

[INSERT guidelines for communications systems here.]

Resilient Systems

[INSERT an overview of communications systems here.]

Table 7: SAMPLE Communications Systems Tracking Table

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]					

Senior Leadership Communications

[INSERT guidelines for maintaining senior leadership communications here.]

Alert and Notification

[INSERT the process for alert and notification here.]

Continuity Event Communications

[INSERT guidelines for continuity event communications here.]

Table 8: SAMPLE Continuity Event Communications Tracking Table

Sender	Receiver	Method	Message	Frequency	Receipt Notification

Contact Rosters

[INSERT contact rosters here or add to the appendix.]

Tracking the Threat

[INSERT the process for tracking the development of the incident here.]

-

ALTERNATE LOCATIONS AND TELEWORK

[INSERT a description of the alternate location(s) and guidelines for telework here.]

Space and Infrastructure Summary

[INSERT a description of space and infrastructure requirements here.]

Access to Communications, Internet, and Remote Servers

[INSERT a description of communications and IT system requirements here.]

Contracts

[INSERT a description or the location of contracts for alternate locations here.]

Maps, Directions, Security, and Access

[INSERT maps, directions, security, and access guidelines for alternate location(s) here.]

Telework

[INSERT guidelines for telework here.]

Activation/Relocation

[INSERT the process for personnel activation and relocation (if required) here.]

Table 9: SAMPLE Alternate Location Checklist

Alternate Location Checklist
Upon arrival at the alternate location, continuity personnel will:
❑ Check in
❑ Receive instructions and equipment
❑ Report to work station as identified in **[insert location]** or as otherwise designated during the activation process
❑ Retrieve pre-positioned or transported information and resources, and activate specialized systems or equipment
❑ Monitor the status of personnel and resources
❑ Conduct EFs
❑ Prepare and disseminate reports, as required
❑ Comply with any additional continuity reporting requirements
❑ Communicate contact information to family members, next of kin, and emergency contacts
❑ **[Insert additional tasks here]**

RECONSTITUTION

[INSERT guidelines for primary operating location reconstitution here or reference location of a separate Reconstitution Plan.]

Procedures

[INSERT guidelines for primary operating location reconstitution here.]

Table 10: SAMPLE Reconstitution Checklist

Reconstitution Checklist
❑ Identify the Reconstitution Manager for all phases of the reconstitution process.
❑ Reconstitution will commence when the **[Organization Head**] or another authorized person ascertains that the emergency situation has ended and is unlikely to reoccur.
❑ Within **[insert number]** hours of the Continuity Plan activation, each **[Organization Name]** subcomponent will designate a reconstitution POC to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution.
❑ **[Insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**.
❑ **[Organization Name]**, in conjunction with **[insert offices and organizations here]**, will determine how much time is needed to repair the primary operating facility and/or acquire a new facility.
❑ 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.
❑ Before relocating to the recovered or replaced primary operating facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability.
❑ **[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 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.
❑ 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.

Reconstitution Team

[INSERT guidelines for Reconstitution Team expectations here.]

Table 11: SAMPLE Reconstitution Team Responsibility Chart

Position	Responsibilities
Organization Head	● Provide overall policy direction, guidance, and objectives for continuity planning. ● Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise). ● Ensure adequate funding is available for emergency operations. ● Ensure all organization components participate in TT&E activities.
Reconstitution Manager	● Provide strategic leadership and overarching policy direction for reconstitution activities. ● Serve as the organization reconstitution POC. ● Implement the Reconstitution Plan when necessary, or when directed by a higher authority. ● Update Reconstitution Plan annually. ● Assemble and train reconstitution team. ● Conduct TT&E activities. ● Coordinate with Continuity Manager. ● Oversee and monitor work on primary facility. ● Plan phased transition of EF to primary facility.
Reconstitution Team Personnel	● Be prepared to deploy and support reconstitution activities ● Provide current contact information to manager. ● Be familiar with reconstitution planning and know individual roles and responsibilities in the event of activation. ● Participate in continuity training and exercises as directed.

DEVOLUTION

[INSERT guidelines for devolution here or reference location of a separate Devolution Plan (if applicable).]

Contract

[INSERT a copy of devolution contracts here or reference location of the contract(s) (if applicable).]

Transfer of Essential Functions

[INSERT the procedures for transferring essential functions (if applicable) here.]

Continuity Program Management

BUDGETING AND ACQUISITION

[INSERT continuity program budgeting and resource acquisition guidelines here.]

Cost Prevention, Mitigation, and Reallocation

[INSERT continuity program cost prevention, mitigation, and reallocation strategies here.]

Emergency Procurement

[INSERT continuity program emergency procurement procedures here.]

MULTI-YEAR STRATEGIC PLANNING

[INSERT continuity program multi-year strategies planning here.]

TRAINING, TESTING, AND EXERCISING (TT&E)

[INSERT a description of the continuity TT&E program here.]

Table 12: SAMPLE TT&E Documentation

Event	Event Type and Purpose	Date	Confirmation Initials or Signature
Continuity Facility Communications Check	Test and validate equipment to ensure internal / 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

Training

[INSERT a description of the continuity program training activities here.]

Testing and Exercises

[INSERT a description of the continuity program testing and exercise activities here.]

After-Action Evaluation and Improvement Planning

[INSERT a description of the continuity program after action and improvement planning activities here.]

Table 13: SAMPLE Corrective Action Program Documentation

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

APPENDIX A: LIST OF SUPPORT APPENDICES

[INSERT a Continuity Plan specific appendices here.]

APPENDIX B: AUTHORITIES AND REFERENCES

[INSERT a list of authorities and references used in this plan here.]

APPENDIX C: ACRONYMS

Acronym	Definition
AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assessment Tool
CGC	Continuity Guidance Circular
EF	Essential Function
IT	Information Technology
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
POC	Point of Contact
RTO	Recovery Time Objective
SLA	Service Level Agreement
SOP	Standard Operating Procedure
TT&E	Training, Testing, & Exercise
BIA	Business Impact Analysis
BPA	Business Process Analysis
EF	Essential Function
IT	Information Technology
POC	Point of Contact
RTO	Recovery Time Objective
SOP	Standard Operating Procedure

APPENDIX D: PLAN MAINTENANCE

Annual Review

[INSERT the process for conducting an annual review of the plan here.]

Table 14: SAMPLE Continuity Program Review Table

Element Reviewed	Date of Last Review	Individuals Conducting Review
Continuity Plan		
Essential Functions		
Risk Assessment		
Business Impact Analysis		
Business Process Analysis		
Alternate Location(s) Suitability and Functionality		
Alternate Location(s) MOA/MOU		
Continuity Communications' ability to support Essential Functions fully		

Record of Distribution

[INSERT the process for distributing the plan to internal and external partners here.]

Table 15: SAMPLE Continuity Plan Distribution Record

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