

E/L 1301 Continuity Planning

Student Manual

February 2021

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E/L 1301: Continuity Planning

December 2020

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Welcome



to E/L 1301: Continuity Planning!

This course is designed for continuity practitioners who are developing and/or maintaining a continuity plan for their organization. Students should have completed IS-1300: *Introduction to Continuity of Operations* prior to taking this course.

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Course Goal

The goal of this course is to help continuity practitioners understand continuity roles and responsibilities, and provide the knowledge sets, skills, and tools necessary to help develop and maintain a viable continuity plan for their organization and community.



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Course Objectives

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



1. Describe National Continuity Policy, continuity guidance, directives, and background.
2. Identify the roles and responsibilities of key personnel involved in developing and maintaining a continuity plan.
3. Describe the essential function identification process.
4. Describe how to conduct a Business Process Analysis (BPA) and Business Impact Analysis (BIA).
5. Identify mitigation options to reduce an organization's risk and key planning elements to support those options.
6. Demonstrate knowledge of key concepts and strategies for developing and maintaining a viable continuity plan.

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Roadmap to the Continuity Plan



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Administrative Information

- Hours
- Evacuation routes and fire exits
- Restrooms
- Breaks and lunch
- Please put your cell phone on vibrate!



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Course Materials

- Student Manual
  - Course Visuals
  - Student Worksheets



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Course Agenda

DAY 1	
AM	**PM**
Welcome	Unit 2
Unit 1	Unit 3
	Unit 4, Part 1

DAY 2	
AM	**PM**
Unit 4, Part 2	Unit 6
Unit 5	Unit 7

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Introductions

Please share your:

- Name
- Organization
- Experience with continuity
- Greatest need from this course



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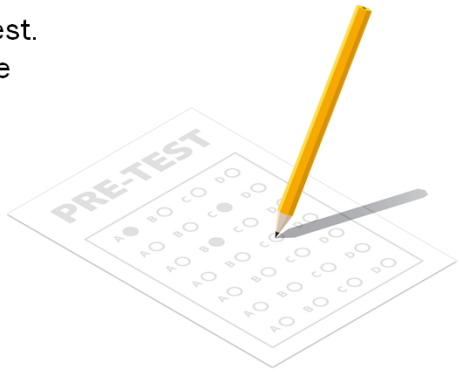
Pre-Test

At this time, take **15 minutes** to complete the pre-test. This test is intended to gauge your knowledge of the course topics prior to beginning the course.



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UNIT 1:
Introduction and Course Overview

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Unit 1 Objectives

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

1. Review Presidential Policy Directive 40, the Continuity Guidance Circular, and Federal Continuity Directives 1 and 2.
2. Discuss the role of federal and non-federal agencies in continuity.
3. Discuss the relationship between continuity and the National Preparedness Goal.
4. Define continuity in the context of community resilience.



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City of Gushank



- Gushank is the thriving capital of Nowhere, home to a diverse community of more than 70,000 people.
- The state capitol, municipal offices, and several federal agency field offices are located in Gushank.
- The Gushank Office of Public Safety is responsible for:
  - Highway and Roadway Safety
  - Citywide Emergency Management
  - Emergency Services (Law enforcement, Fire, EMS, Hazardous Materials, Search & Rescue)
  - Public Safety Licensing and Regulatory Services
- The Gushank Office of Public Safety employs approximately 1,000 employees.

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Continuity Guidance and Background

- Continuity planning:
  - Ensures the continuity of essential functions across a wide range of emergencies and events.
  - Enables organizations to continue the functions on which their customers depend.
  - Is part of the fundamental mission of all organizations.
- Today's changing threat environment has increased the need for a continuity program and plan.
- Continuity is a good business practice!

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Presidential Policy Directive (PPD) 40

- Comprehensive national policy on the continuity of programs, capabilities, and operations.
- It is the policy of the United States to maintain a comprehensive and effective continuity capability through Continuity of Operations (COOP), Continuity of Government (COG), and Enduring Constitutional Government (ECG) programs, ensuring the preservation of government structure under the United States Constitution and the continuing performance of National Essential Functions (NEFs) under all conditions.



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Federal Agency Role

- Each federal Department/Agency (D/A) is responsible for the implementation, execution, and assessment of its own continuity program and plan.
  - FEMA is responsible for issuing the guidance and requirements for each D/A to accomplish this.
- Collectively, D/As are responsible for ensuring the Nation can accomplish its NEFs.
  - Many D/As have at least one Primary Mission Essential Function (PMEF) that supports one or more NEFs.
- D/A headquarters are responsible for providing oversight to their subcomponent and field offices.



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Non-Federal Agency Role

- Establish a continuity program and plan to ensure the continuation of the organization's essential functions during a disruption or emergency.
- Integrate and synchronize continuity efforts across the community.
- NGOs, the private sector, community-based organization, and local governments all provide essential services and resources to their communities; it is incumbent on them to effectively plan and implement continuity strategies.

Gushank Office of Public Safety must ensure that it can continue to provide emergency services to people of Gushank. In order to do so, the Office of Public Safety must have a viable continuity capability including a Continuity Plan and designated employees responsible for ensuring the continuation of its essential functions.

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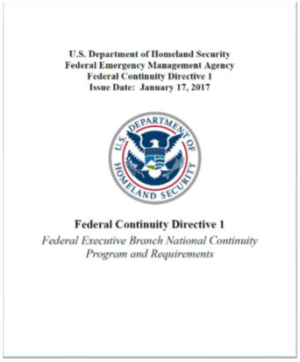
Federal Continuity Directives 1 and 2

- Federal Continuity Directives (FCDs) 1 and 2 provide direction for the development of continuity plans and programs for the Federal Executive Branch.
  - FCD-1: Outlines requirements
  - FCD-2: How to identify essential functions, business process analysis, and business impact analysis


U.S. Department of Homeland Security
Federal Emergency Management Agency
Federal Continuity Directive 1
Issue Date: January 17, 2017

Federal Continuity Directive 1

Federal Executive Branch National Continuity Program and Requirements

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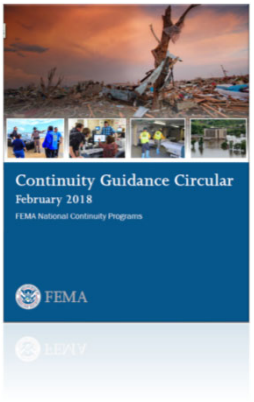
Continuity Guidance Circular

- The Continuity Guidance Circular (CGC) provides continuity guidance on the integration of continuity concepts and planning across the whole community.
- Organizations and governments at all levels can draw upon the CGC when creating or revising continuity plans, programs, and processes.
- Many jurisdictions and organizations use the CGC to refine capabilities and processes.



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Continuity Resource Toolkit

- The Toolkit can be sorted by the chapters of the CGC or by subject such as references, templates, and training.
- The Toolkit offers:
  - Technical Assistance
  - Templates
  - Guidance
  - Training

Click here to access the Continuity Resource Toolkit.

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PPD-8: National Preparedness

- Outlines the National Preparedness Goal, National Preparedness System, core capabilities, and the planning frameworks.
- Aims to strengthen the security and resilience of the nation through the engagement of the whole community.
- Guides national level preparedness efforts utilizing the Whole Community approach.

Click here for more information about PPD-8.



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National Preparedness Goal

The National Preparedness Goal (NPG) defines what it means for the whole community to be prepared for all types of disasters and emergencies.

"...a secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk."

The scope and magnitude of a catastrophic incident may result in a resource scarce environment. Because such incidents may affect an organization's ability to provide assets, assistance, and services, ***continuity planning and operations are an inherent component of each core capability*** *and the coordinating structures that provide them.* ***Continuity operations increase resilience and the likelihood that organizations can perform essential functions and deliver core capabilities*** *that support the mission areas."*

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Whole Community Approach

- A philosophical approach to conducting the business of emergency management by which residents, emergency management practitioners, and organizational and community leaders and officials can collectively understand and assess the needs of the community and determine the best ways to organize and strengthen their assets, capacities, and interests.



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Types of Resilience

- The ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.
- Three types of resilience:
  1. Individual
  2. Organizational
  3. Community
- All are ***interdependent*** and integral to building the capabilities communities need to withstand and recover from emergencies.



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Individual Resilience

- A prepared individual is the foundation of a resilient community!
- What actions can you take to make yourself more resilient?
  - ✓ Prepare!
  - ✓ Plan!
  - ✓ Stay Informed!
  - ✓ Get involved!



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Organizational Resilience

- The ability to withstand and rapidly recover from a disruption that impacts your organization.
- When an event occurs, citizens may still need the services your organization provides.
- A robust continuity capability enables organizations to continue their essential functions and increase their resilience.



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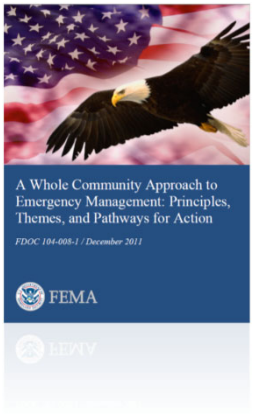
Community Resilience

- *"The collective effort among individuals and organizations within a community (or communities) to work together to ensure that they can adapt to and recover from any threat or incident."*
- Achieved through participation and representation from organizations within a community engaged in collective planning for the threats and hazards that are most likely to affect them.



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Case Study: Red Lake District Office Fire



https://www.youtube.com/watch?v=N1tkpddYj_Y

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Unit 1 Knowledge Check

1. It is mandatory that all organizations follow the CGC?
   A. True
   B. False

2. Organizational and community resilience requires:
   A. That individuals and organizations incorporate continuity planning.
   B. A continuity directive.
   C. Regular emergencies to validate them.



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Unit 1 Summary

In this unit we reviewed:

- ✓ The role of federal and non-federal organizations in continuity;
- ✓ Continuity and preparedness guidance;
- ✓ Individual, organization, and community resilience; and
- ✓ Continuity lessons learned: Red Lake District Office Fire.



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UNIT 2:
Continuity Planning
Roles and Responsibilities

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Unit 2 Objectives

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

1. Describe the continuity planning process.
2. Identify and describe continuity planning roles and responsibilities.
3. Discuss the role of an organization's leadership in continuity planning.
4. Describe the importance of identifying and communicating with internal and external stakeholders.



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Continuity Planning Process: Step 1



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Initiating the Planning Process

- Become knowledgeable with the current program.
- Identify guidance, requirements, or mandates (e.g., statutes) that are applicable to the program.
- Establish a continuity planning team to assist with planning.
- Develop a project plan, timelines, and milestones.
- Identify preliminary budget and resource requirements.
- Identify roles and responsibilities for the program.

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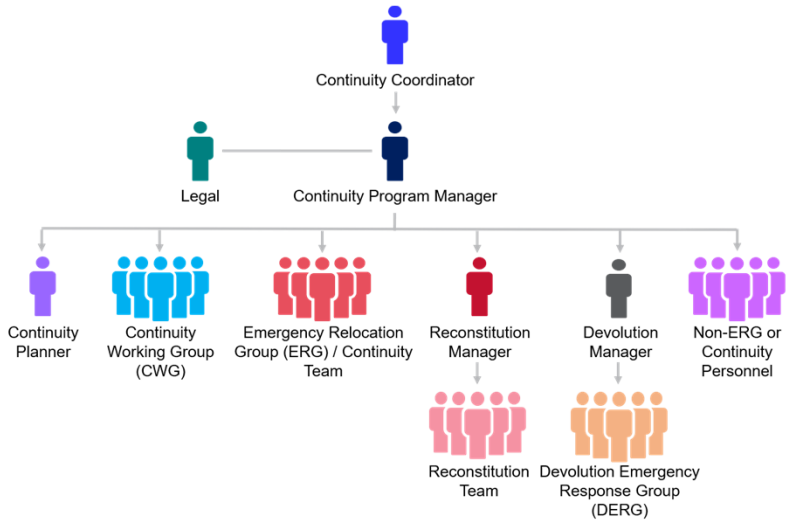
Example Organizational Roles



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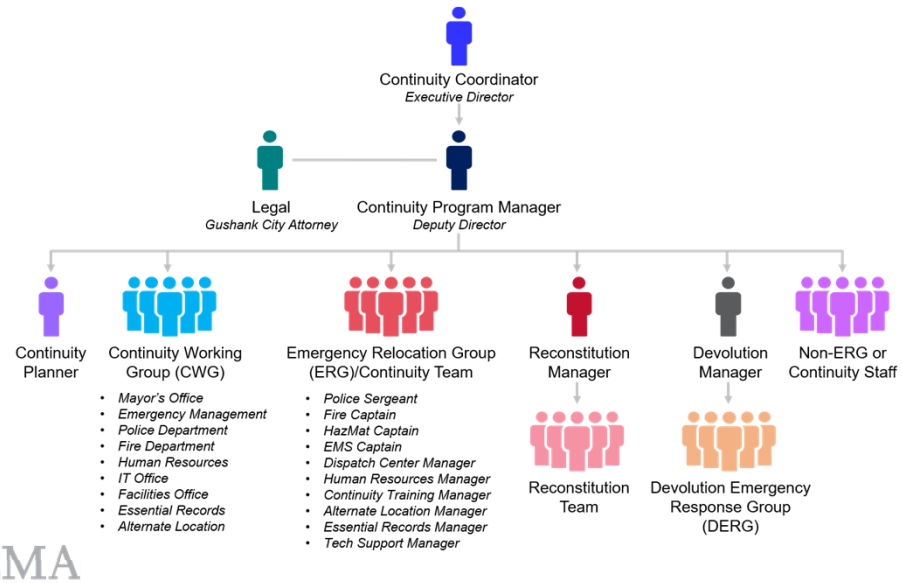
Gushank Office of Public Safety Continuity Organizational Chart



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Continuity Coordinator Responsibilities

- Coordinate with leadership to ensure the organization maintains a viable and effective continuity capability;
- Responsible for oversight of the continuity program;
- Direct the work of the Continuity Program Manager to create a seamless continuity planning environment;
- Signatory for approved continuity budget requirements; and
- Brief senior leadership/executives on continuity program.



Gushank Office of Public Safety Continuity Coordinator is the conduit between the Office of Public Safety and the Mayor's office, as well as other city agencies. They ensure that continuity remains a priority for the agency and is ultimately responsible for ensuring the Continuity Program Manager has all the resources they need to build a viable continuity capability.

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Leadership Support in Planning

- Leadership support and inclusion is key in the continuity planning process.
- Leadership:
  - Controls budget and resources;
  - Provides timelines and expected tasks;
  - Provides foundation information;
  - Clarifies issues;
  - Approves the plan; and
  - Provides public support.

The Mayor of Gushank must approve the city budget, including the allocations for the Continuity Program. The Continuity Plan must be approved by the Mayor. The Mayor also serves as a high-profile advocate for continuity within the city government.

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Continuity Program Manager Responsibilities

- Coordinate overall continuity activities within the organization or jurisdiction including those activities enabling the performance of essential functions during a continuity situation;
- Oversee continuity planners and the development/update of continuity plans;
- Ensure that organization leadership and continuity personnel are properly trained and facilities properly equipped;
- Develop long-term continuity budget and ensure budgetary support recommendations;
- Chair the organization's Continuity Working Group (CWG).



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Continuity Program Manager Responsibilities, cont.

- Represent the continuity program externally, as appropriate; and
- Report to the Continuity Coordinator on continuity program activities.

The Gushank Office of Public Safety's **Continuity Program Manager** works with the **Continuity Coordinator** to communicate the resource needs and importance of the program to senior leadership. They also work closely with the Continuity Planner to ensure continuity plans are comprehensive and up to date, and the CWG is engaged.

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Continuity Planner Responsibilities

- Manage continuity plan development;
- Ensure that the Continuity Plan is coordinated with other organizational plans;
- Coordinate with the planning team and CWG; and
- Execute tests, training, and exercises, corrective action planning, and long-term planning efforts.

The Gushank Office of Public Safety's **Continuity Planner** supports the Continuity Program Manager in developing and maintaining the Continuity Plan as well as coordinating with the emergency manager, chief of police, fire chief, facilities manager, and others to ensure the Continuity Plan is integrated with other organizational plans.

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Discussion: Program Responsibilities



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Continuity Working Group Responsibilities

- Serve as a forum for developing the continuity capability for an organization.
- Provide guidance to the Continuity Program Manager, Continuity Planner, and Continuity Planning Team on the development of plans, tests, training, and exercises, capability assessments, and other activities.
- Operate in a preparedness capacity; some members may have additional duties during continuity activations.

At a minimum, the Gushank Office of Public Safety CWG includes one representative from each city division which then reports back to the individual city components.

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Unit 2 Knowledge Check (1 of 2)

1. Which of these is NOT a step in the continuity planning process?
   A. Test, train, and exercise the plan
   B. Identify essential functions
   C. Survey employees

2. Continuity Working Group members may have additional duties during continuity activation.
   A. True
   B. False



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Additional Roles

- Emergency Relocation Group (ERG) / Continuity Team
- Devolution Manager
- Devolution Emergency Response Group (DERG)
- Reconstitution Manager
- Reconstitution Team



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Internal Stakeholders

- The CWG is important, but not the only avenue for coordinating with internal stakeholders.
- Internal stakeholders should understand their roles and responsibilities associated with the organization's essential functions.
- Planning, training, and exercise should always include internal stakeholders even when they are not directly impacted by the continuity event.

In Gushank, the Deputy Chief of Police represents the division on the CWG and takes the information back to the respective components such as highway and roadway safety, investigations, community policing, and essential records that that fall under the law enforcement division.

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Discussion: External Stakeholders



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External Stakeholders

- It is likely that there are external stakeholders in your community that depend on your organization's ability to continue its essential functions. Examples include:
  - Contractors
  - Vendors
  - Community-based organizations
  - Customers
- Here are some example ways in which you can engage external stakeholders:
  - Include them in your CWG;
  - Coordinate and review each other's continuity plan;
  - Share training opportunities;
  - Conduct exercises together; and
  - Conduct annual continuity coordination meetings with them.

Gushank Office of Public Safety **external stakeholders** include critical infrastructure owners and operators, contractors who provide seasonal and surge support services, and vendors who supply Gushank with necessary goods and equipment that may require specialized service.

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Activity: Identify Stakeholders

Instructions:

1. Work individually or in groups, as assigned by the instructor.
2. List your continuity program's *internal* stakeholders that should be a part of your CWG. Note which stakeholders on your list currently do not participate.
3. List your continuity program's *external* stakeholders that may be impacted by the performance of your essential functions and should participate on your CWG.
4. Use Worksheet #1 to complete this activity.
5. Be prepared to share your responses with the group.



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Unit 2 Knowledge Check (2 of 2)

1. The role of the ERG is to draft the Continuity Plan.
   A. True
   B. False
2. How can you engage external stakeholders?
   A. Share training opportunities
   B. Include them in your Continuity Working Group
   C. Conduct exercises together
   D. All of the above



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Unit 2 Summary

In this unit, we reviewed:

- ✓ The continuity planning process;
- ✓ Continuity planning roles and responsibilities;
- ✓ The role leadership plays in continuity planning; and
- ✓ Internal and external stakeholders.



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UNIT 3:
Essential Functions

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Unit 3 Objectives

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

1. List the different kinds of essential functions.
2. Describe the process for identifying essential functions.
3. Demonstrate the ability to draft essential functions using an organization's principle functions.



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Continuity Planning Process: Step 2



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What is an Essential Function?

- Essential Functions (EFs) are critical activities an organization performs that are directly related to accomplishing the mission of the organization.
- EFs are a limited set of organization functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

Essential Functions are:
- ✓ Urgent
- ✓ Important
- ✓ Cannot be delayed
- ✓ Something no one else does

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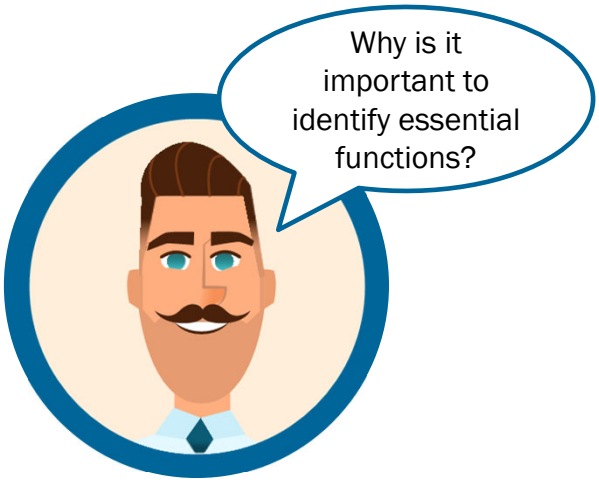
Discussion: Importance of Essential Functions



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Essential Functions

- Goal of continuity is:
  - To continue essential functions.
  - Enable an organization to choose the right people, resources, and planning for continuity.
  - Assist in the prioritization of resources and focus following an emergency or threat.



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Example Essential Functions

The City of Gushank Office of Public Safety has identified the following essential functions, a limited set of its overall functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

1. Ensure availability of emergency services for the people of Gushank including emergency management, law enforcement, fire, emergency medical services, search & rescue, and hazardous materials.
2. Coordinate emergency response and recovery efforts after a natural or human-caused disaster.
3. Operate the emergency communications telephone and radio system.



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Additional EF Terminology

- National Essential Functions (NEFs)
- Primary Mission Essential Functions (PMEFs) (federal only)
- Essential Supporting Activities (ESAs)

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NEFs

- A subset of eight government functions that are necessary to lead and sustain the Nation during a catastrophic emergency and must be supported through continuity capabilities.
- Represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and will be the primary focus of the Federal Government's leadership during and in the aftermath of a catastrophic emergency.
- The Federal Government cannot maintain these functions and services without the support of the whole community.

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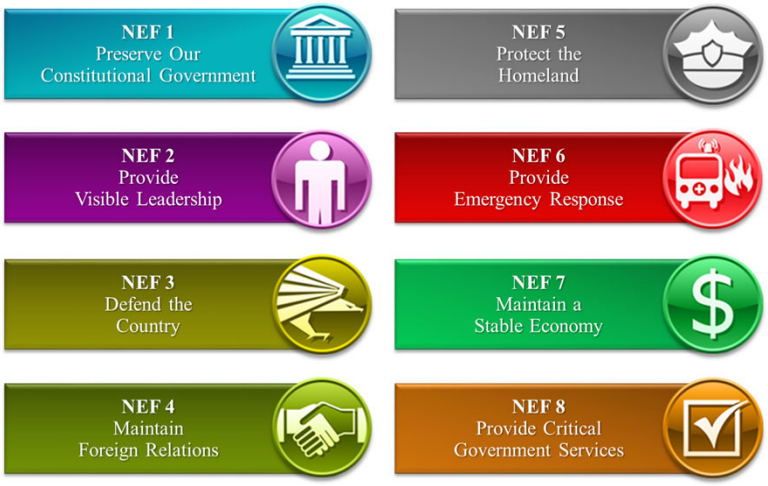
NEFs, cont.



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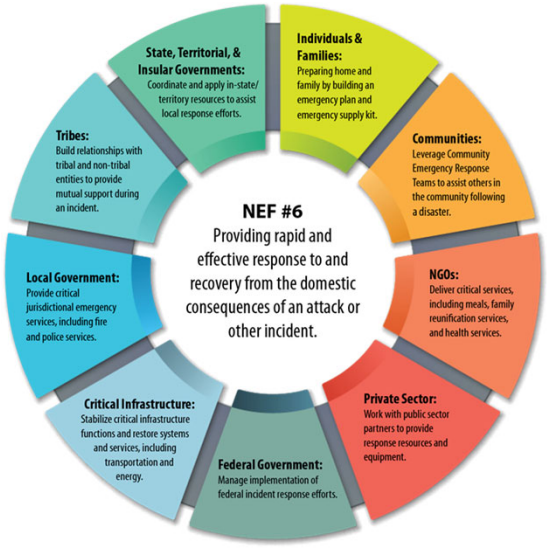
NEFs and the Whole Community

- Implementation of the NEFs requires the efforts of the whole community!



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PMEFs

- Essential functions that must be continuously performed to support or implement the uninterrupted performance of NEFs.
- Performed by one or more departments and agencies.
- For federal D/As only.

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Essential Supporting Activities

- Essential Supporting Activities (ESAs) are the many supporting activities that must be accomplished to ensure the missions are performed; these are the facilitating activities that enable the organization to perform EFs.
- Examples include:
  - Emergency responders must be fed.
  - Security must be maintained.
  - Travel arrangements must be made.
  - Vehicles must be serviced.
  - Computer systems must operate.
  - Personnel must be paid.

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Example ESAs

ESSENTIAL FUNCTION	ESSENTIAL SUPPORTING ACTIVITY
Protect critical infrastructure	Maintain and ensure operational capability of the organization's computer systems.
Provide medical services to veterans	Manage facilities, including providing security.
Lead national emergency response efforts during major disasters and emergencies	Account for employees.
Collect intelligence	Manage the personnel payroll system to ensure all employees receive salary payments and employees receive appropriate pay and benefits.
Perform health inspections	Provide legal counsel to leadership and components on policy matters.
Operate satellites	Gather, coordinate, and disseminate information about programs, essential functions, and activities to the public.
Regulate banking	Represent the agency on urgent department-level policy matters.

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Essential Function Identification Process

STEP 1: IDENTIFY ORGANIZATIONAL FUNCTIONS
Identify all functions which the organization performs, mandates to perform each functions, and the function's products or services.
Output: List of all organizational functions.

STEP 2: IDENTIFY DRAFT ORGANIZATIONAL ESSENTIAL FUNCTIONS
Identify candidate essential functions based on criteria for essential vs. non-essential during a disruption.
Output: Draft organizational essential functions.

STEP 3: PRESENT DRAFT ESSENTIAL FUNCTIONS TO LEADERSHIP
Develop and present draft essential functions for leadership review and concurrence.
Output: Leadership concurrence on draft essential functions.

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Identifying Organizational Functions

- Review statutes, regulations, other legal authorities, mission statements, and strategic plans.
- Identify the critical activities the organization performs.
- Seek input from sections/business units etc. throughout the entire organization.
- Focus on functions that support the organization's mission.
- Identify requirements for performing each function.
- Should include:
  - A description of each function.
  - The requirement to perform each function.
  - The products and services delivered or actions each function accomplishes.

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EF Writing Guidance

- Keep it simple;
- Focus on the big picture;
- Language should be clear and understandable to non-experts; and
- Limit use of acronyms and technical terms unfamiliar to stakeholders.



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Gushank's Organizational Functions

The following are organizational functions of the Gushank Office of Public Safety. Based on these overarching functions, the EFs were developed.

- Provide professional first responder services (Law Enforcement, Fire, EMS, Hazardous Materials, Search & Rescue) during steady state and emergency situations in order to ensure the safety of the citizens of Gushank.
- Coordinate citywide emergency management before, during, and after an event so the city of Gushank and its citizens can prepare for, respond to, and recover quickly from an emergency.
- Serve as the licensing and regulatory authority for public safety to ensure businesses and the citizens of Gushank are in compliance with public safety rules and regulations, promoting the safety of the entire city.



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Gushank's Essential Functions

The City of Gushank Office of Public Safety has identified the following essential functions, a limited set of its overall functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

1. Ensure availability of emergency services for the people of Gushank including emergency management, law enforcement, fire, emergency medical services, search & rescue, and hazardous materials.
2. Coordinate emergency response and recovery efforts after a natural or human-caused disaster.
3. Operate the emergency communications telephone and radio system.

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Activity: Essential Function Identification

Instructions:

1. Work individually or in groups and identify 3 or more functions your organization performs (try to select different types of functions). For each:
   - Identify what the organization does – brief statement.
   - Identify why it is done – what is the requirement?
   - Identify who is the customer – who inside or outside the organization is the recipient of the service?
2. Next, determine which ones are essential functions.
3. Use Worksheet #2 to complete this activity
4. Be prepared to discuss your selections.



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Case Study: National Impacts of Hurricane Maria

- Hurricane Maria significantly reduced the ability of medical supply manufacturers in Puerto Rico to produce and ship critical medical equipment, including IV fluid bags, to the US.
- Factories producing IV bags had diesel-fueled generators but could not connect to a functioning power grid for weeks and experienced a sporadic electrical supply when reconnected. This made production difficult to continue.
- Hospitals nationwide faced critical shortages of IV bags, drugs, and other medical supplies creating a public health crisis.
- Pre-hurricane production levels did not resume until 2018.



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Unit 3 Knowledge Check

1. The NEFs are only accomplished by the work of the Federal Government.
   A. True
   B. False
2. Which of the following is the first step in identifying an organization's essential functions?
   A. Conduct an evacuation drill.
   B. List of all major organizational functions.
   C. Draft the Continuity Plan.
   D. Hire a consultant.



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Unit 3 Summary

In this unit, we discussed:

- The importance of EFs;
- Different kinds of EFs;
- Process for identifying EFs; and
- How to draft an EF.



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UNIT 4:
Business Process Analysis, Risk Assessment, and Business Impact Analysis

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Unit 4 Objectives

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

1. Explain the elements of the Business Process Analysis (BPA).
2. Demonstrate the ability to draft a BPA using an organization's essential functions.
3. Explain how the risk assessment informs the Business Impact Analysis (BIA).
4. Explain the elements of the BIA.
5. Demonstrate the ability to conduct a BIA.



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Continuity Planning Process: Step 3-4



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Business Process Analysis (BPA)

- A BPA is a systematic process that identifies and documents the activities and tasks that are performed within an organization.
- A BPA identifies and maps functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of the organization's EFs or activities.
- A thorough BPA supports the development of detailed procedures that outline how an organization accomplishes its mission.



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BPA

The BPA:

- Identifies organizational functions and assists in determining which are essential.
- Identifies how each organizational function is accomplished.
- Ensures that the right people, equipment, capabilities, records, and supplies are identified.
- Identifies function inputs and outputs, including internal and external interdependencies.
- Examines, identifies, and maps the functional processes, workflows, and activities.



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BPA Steps 1-9

Step 1: Identify EF Output - What products, services, and information results from the performance of the EF?

Step 2: Identify Input Requirements - What products, information, and equipment are required to perform the EF?

Step 3: Identify Dependencies and Interdependencies - Who are the internal/external organizations that support EF performance, and what information, supplies, equipment, or products do they provide?

Step 4: Identify Leadership Who Perform the EF - Who in the organization's leadership is required to perform the EF?

Step 5: Identify Staff Who Perform and Support the EF - What staff in the organization is required to directly support or perform the EF?

Step 6: Identify Communications and IT Requirements - What communications and IT software and equipment are required to support EF performance?

Step 7: Identify Alternate Location Requirements - What are the facility requirements for performing the EF (e.g. facility type, square footage, infrastructure required)?

Step 8: Identify Resources and Budgeting Requirements - What supplies, services, capabilities (not already addressed) are required to perform the EF? What are the funding sources?

Step 9: Describe the Process Flow - From start to finish, how is the EF performed?

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BPA Data Sheet

Business Process Analysis Data Sheet
EF Statement and Description:
EF Outputs (Step 1):
EF Inputs (Step 2):
Dependencies and Interdependencies (Step 3):
Leadership (Step 4):
Staff (Step 5):
Communications and IT (Step 6):
Alternate Location Requirements (Step 7):
Resources and Budgeting (Step 8):
Process Details (Step 9):

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BPA Data Sheet – EF Statement

EF Statement and Description:

- A concise statement of what your EF is and a description.
- What does it do?
- This is not a complete process flow, as that will come later.

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BPA Data Sheet – EF Outputs

EF Outputs (Step 1):

Identify products, services, and information (i.e., deliverables or outputs) that result from performance of the EF. An organization also identifies the partners and stakeholders that receive the outputs. The description should include appropriate metrics that identify specific performance measures and standards, as the EF output timeframes will inform the BIA.

STEP 1

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BPA Data Sheets – EF Inputs

EF Inputs (Step 2):

Identify products, services, information, supplies, equipment, and other resources (i.e., inputs) required to perform the EF and deliver the EF outputs, which may be internal to the organization or depend on external partners. Organizations should identify what input is required, from whom, and when, as the input may be required at the beginning of EF performance or as the functional process proceeds. The input descriptions should include delivery time requirements, which will inform the BIA.

STEP 2

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BPA Data Sheet – Dependencies/Interdependencies

Dependencies and Interdependencies (Step 3):

Identify dependencies and interdependencies with partners and stakeholders required to perform the EF, to include other government organizations, critical infrastructure owners and operators, non-governmental organizations, private sector organizations, and others as appropriate. The description should include information on the ability and expectations of dependent organizations to provide required inputs during a disruption to normal operations.

STEP 3

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BPA Data Sheet – Leadership

Leadership (Step 4):

Identify organizational leadership required to make decisions and perform other key actions necessary to perform the EF. The description should include the location of appropriate senior leadership, specifically if their action can be performed remotely or they are needed at a certain facility, as well as communication requirements to support EF performance.

STEP 4

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BPA Data Sheet – Staff

Staff (Step 5):

Identify staff required to perform the EF. The description should include appropriate knowledge, skills, abilities, expertise, experience, certifications, licenses, clearances or permissions needed, and the number of staff required to perform the EF.

STEP 5

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BPA Data Sheet – Communications

Communications and Information Systems (Step 6):

Identify communications and information systems required to perform the organization's EFs. The description should include specific capabilities or data needed, classification requirements, and any other unique requirements. The description should also include information on system dependencies and interfaces with other systems or data sources.

STEP 6

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BPA Data Sheet – Alternate Location

Alternate Location Requirements (Step 7):

Identify facility requirements needed to perform the organization's EFs. The description should include space, configuration, security, safety, support services (e.g., lodging, food services, medical support), and storage requirements appropriate for the organization's operations.

STEP 7

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BPA Data Sheet – Resources

Resources and Budgeting (Step 8):

Identify resource and budget requirements to perform the EFs for whatever time period is required by the organization's governing directives, authorities, etc. following a continuity activation or until normal operations are resumed. Resources not yet captured in the BPA process may include standard operating procedures, essential records, and reference materials required for EF performance. The description should include and account for funding requirements for all identified resources needed to perform the EF and any supporting activities.

STEP 8

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BPA Data Sheet – Process Details

Process Details (Step 9):

Develop a narrative description that captures all information gathered during Steps 1-8 and describes the process of performing the EF. The organization will develop appropriate diagrams or other informational aids to support the narrative description. Documenting the process will not only describe how the EF is accomplished, but will also validate the information compiled and limit omission of any details.

STEP 9

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Example: Gushank EF #3 Statement

Essential Function #3:

Operate the emergency communications telephone and radio system from the 911 dispatch center, where calls are received and the appropriate first responders are alerted. (Responsible Office: Dispatch Center)

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Example: Gushank EF #3 Outputs

- Dispatcher notifies the appropriate first responders and shares all relevant situation information.
  - Performance measure: length of time between dispatcher starting call and alerting appropriate first responder
  - Performance measure: if the correct department is notified
- First responders proceed to the location of the situation.

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Example: Gushank EF #3 Inputs

- Calls from the public to 911
  - Routed to the dispatch center by the telephone carrier
- Dispatch communications system
  - Telephone carrier and telephone equipment
  - Computers and dispatch software platform
  - Radio equipment
  - These inputs are purchased from private vendors
  - First responder status updates (e.g., apparatus availability) by function

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Example Gushank: EF #3 Dependencies/Interdependencies

- **Dependency:** Dispatch communications system includes the telephone carrier and telephone equipment, computers and the software platform installed on them, and the radio equipment. These must be purchased from and serviced by private vendors.
- **Dependency:** Accurate information from the 911 caller.
- **Interdependency:** Effective communication between the dispatch center and the first responder units/departments (both ways).

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Example: Gushank EF #3 Leadership

- Primary:
  - Mayor
  - Dispatch Center Manager
- Secondary:
  - Emergency Management Director
  - Fire Department Chief
  - Police Chief
  - Emergency Medical Services (EMS) Chief
- Note: All positions are located at the Gushank Emergency Operations Center (EOC) but can work from the alternate location.
  - The Emergency Management Director, Fire, Police, and EMS Chiefs can also work in the field as required.



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Example: Gushank EF #3 Staff

- 911 Dispatchers and Supervisors
  - Dispatchers and supervisors are required to complete a shadowing and supervision training period in order to learn the communications system, dispatch protocol and techniques
  - Emergency Medical Dispatcher (EMD) Certification (or equivalent)
  - Supervisors required to have at least 9 months of dispatch experience
  - 18 dispatchers, 1 supervisor across three 8-hour shifts, with surge support as needed
- First responders are trained to receive calls from dispatch
  - Firefighters, Police, Emergency Medical Technicians (EMTs)/Paramedics are trained in their respective disciplines



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Example: Gushank EF #3 Communications

The dispatch communications system includes:

- Telephone carrier and telephone equipment
- Computers and dispatch software platform
- 800 MGHz Radio equipment for both dispatch center and first responder departments
- These are purchased from private vendors

Input to the dispatch communications system:

- The public relies on personal telephones to contact 911



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Example: Gushank EF #3 Alternate Location



- Space for up to 30 dispatchers and 2 supervisors.
  - Includes surge support capacity
- Dispatchers must be able to hear callers clearly.
  - Separate cubicles or enough space between dispatchers.
  - Relatively quiet environment.
- Minimum of 32 desks with power supply.
- Access control capabilities.
- “Warm" site with telephone system, telephone equipment and computers with software installed.
- Basic life safety/life support functions.

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Example: Gushank EF #3 Resources

- Funding for alternate location
  - For the space and the location requirements
  - Supplemental funding for post-event facility recovery per MOU
- Telephone carrier contract
- Telephone equipment with mobile capabilities
- Dispatch terminals with software platform
- 100 - 800 MGHz radios
- Surge support and overtime pay for dispatchers and supervisors

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Process Details

In order for first responders to be dispatched to a situation, the emergency communications telephone and radio system must be fully operational. This operation is executed at the 911 dispatch center, where calls are received from the public and the appropriate first responders (police, firefighters, EMTs/paramedics) are alerted and informed of the situation by the dispatchers. The first responders then respond appropriately. Specific communications systems and equipment is required for both the 911 dispatch center and the first responders. An alternate location for the 911 dispatch center would also require these systems and equipment.

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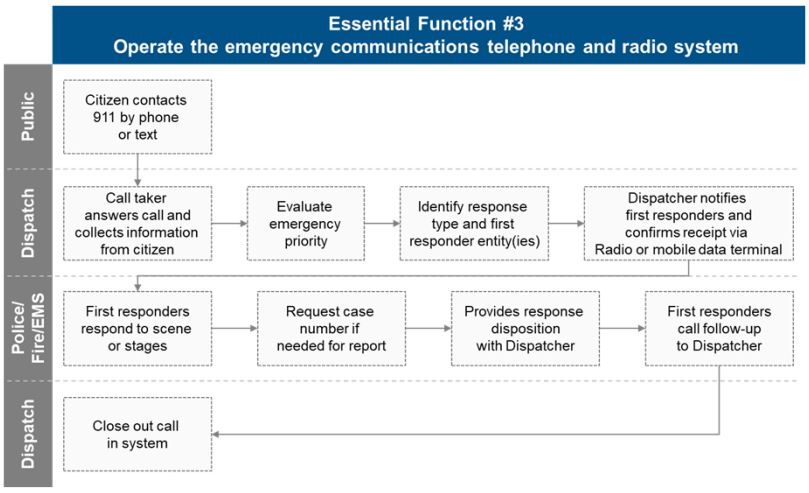
Gushank Process Flow Example



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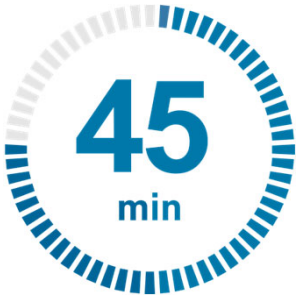
Activity: Conduct a BPA

Instructions:

1. Work individually or in groups.
2. Using the three EFs you identified earlier in this unit, walk through the BPA Data Sheet and fill in information for each step.
3. Consider this to be a functional guide for a back-up emergency relocation member who has been activated to lead performance of each EF.
4. Use Worksheet #3 to complete this activity.
5. Be prepared to share your responses with the group.



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Unit 4 Knowledge Check (1 of 2)

1. The BPA…
   A. Is a systematic process that identifies and documents the activities and tasks that are performed within an organization.
   B. Identifies and maps functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of the organization's essential functions or activities.
   C. Supports the development of detailed procedures that outlines how an organization accomplishes its mission.
   D. All of the above.



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Discussion: Threats and Hazards



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Risk Assessment

- A risk assessment is the process used to identify the hazards that pose a threat to the organization and quantify the degree of threat.
- The purpose of a risk assessment is to determine the organization's vulnerability.
- Risk assessments consider all types of:
  - Natural hazards
  - Technological hazards
  - Human-caused hazards
- The risk assessment informs the plan by providing information about the organization's threats and hazards which the plan should address.



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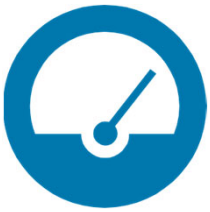
Business Impact Analysis (BIA)

- A BIA is a method of identifying and evaluating the effects that various threats and hazards may have on the ability of an organization to perform its EFs and the resulting impact of those effects.
- Through the BIA, an organization will identify problem areas (gaps, weaknesses, vulnerabilities); in turn, leadership will use the BIA results to make and support risk management decisions.
- The BIA facilitates the identification and mitigation of vulnerabilities to ensure that when a disruption or crisis occurs, an organization can perform its EFs.



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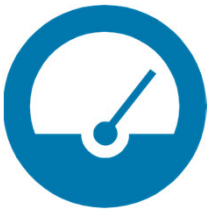
Business Impact Analysis, cont.

- The results of the BIA will establish the foundation of evaluating and establishing risk mitigation strategies to ensure the continued performance of organizational EFs and delivery of critical services.
- An organization should evaluate the risks to the performance of each individual EF and determine how to address unacceptable risks.
- Risk management methods include:
  - Accepting
  - Avoiding
  - Transferring
  - Controlling



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BIA Process (Steps 1-2)

Business Impact Analysis

Step 1: Identify Potential Threats and Hazards
What threats and hazards are most likely to disrupt EF performance?

Step 2: Describe How the Threat or Hazard Can Impact the Essential Function
What characteristics of the threat or hazard can disrupt the performance of the EF?

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BIA Worksheet

BIA/RISK MITIGATION WORKSHEET: **Threat and Hazard Analysis**			
***EF Number and Statement*:**			
	Step 1	**Step 2**	**Step 3**
Entry #	**Threat or Hazard**	**Threat or Hazard Characteristics and Potential Impacts**	**Mitigation Strategy (Unit 5)**
1	Input Threat or Hazard	Input the Threat or Hazard characteristics and likely effects on the organization or region. It is important to provide sufficient data to help characterize the likelihood of occurrence and evaluate the EF vulnerability and impact. If a lot of data is available, consider attaching a separate sheet.	TBD
2	Severe Winter Storm	24 or more hours of active severe winter weather including 12" + of snow; power lines down; impassable roads; facilities closed.	TBD
3	Cyber Attack	Computer network breach – malware discovered that restricts access to information stored on office's server. All mapped network drives infected.	TBD

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Activity: Conduct a BIA

Instructions:

1. Work individually or in groups.
2. Using one of your EFs, walk through steps one and two the BIA process and fill in information for each step on the BIA Worksheet.
3. Use Worksheet #4 to complete this activity.
4. **DO NOT** complete Step 3 – Mitigation Strategy.
5. Be prepared to discuss your response.



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Unit 4 Knowledge Check (2 of 2)

1. What types of hazards do risk assessments consider? Select all that apply.
   A. Technological hazards
   B. Human-caused hazards
   C. Natural hazards
2. The BIA identifies organizational weaknesses, gaps, and vulnerabilities.
   A. True
   B. False



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Unit 4 Summary

In this unit, we discussed:

- ✓ BPA
- ✓ Risk assessments
- ✓ BIA



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UNIT 5:
Mitigation Strategies and Key Elements in Planning

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Unit 5 Objectives

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

1. Identify strategies to mitigate organizational risks.
2. Identify critical organizational planning elements that support risk mitigation strategies.



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Continuity Planning Process: Step 5



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Identifying Mitigation Strategies

- Mitigation strategies help an organization address its risks by accepting, avoiding, transferring, or controlling risk.
- Examples include:
  - Alternate locations
  - Telework policies
  - Devolution
  - Mutual aid agreements



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Alternate Locations

A location, other than the primary facility, that can be used to carry out essential functions in a continuity situation.



Primary Facility
(incident area)



Alternate
Location

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Discussion: Alternate Location Factors



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Alternate Location Factors, cont.

- Distance from the primary facility to avoid impact from the incident.
- Replication of essential system and configurations.
- Availability of interoperable communications.
- Space, equipment, parking, and other resources.
- Considerations for ADA requirements, health, safety, and security.
- Reliable logistical support, services, and infrastructure.
- Access to lodging and amenities, as needed.
- Ability to recover alternate location after usage.



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Determining Space Requirements

- Considerations:
  - Work space
  - Storage space
  - Conference/meeting rooms
  - Utility rooms
  - Lunch/break room

General Services Administration Recommendation:
75-square-foot minimum per person

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Gushank Alternate Locations

- Gushank Office of Public Safety identified the following alternate locations:
- Gushank Fire Academy (EF #1)
- Nowhere County Community College (EF #3)
- Gushank Police Mobile Command Unit (EF #2)
- Gushank Central Library (EF #3)



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Discussion: Alternate Locations



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Discussion: Telework



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Telework, cont.

- Telework allows employees to conduct some or all of their work at an alternate worksite away from the employees' usual work location.
- Telework is a way to:
  - Increase workforce flexibility.
  - Involve more personnel in continuity operations.

Example Requirements to Support Personnel on Telework:

- Access to essential records or software
- Laptop or computer with adequate IT security
- Telephone
- Parameters and guidelines for work
- Accountability mechanism

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Discussion: What is Devolution?



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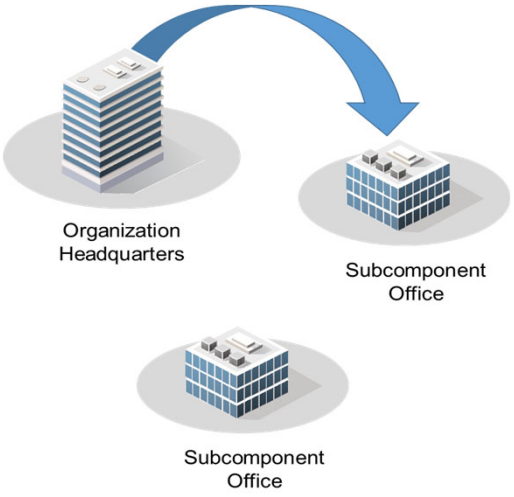
Devolution

- Transferring responsibility from the organization's primary operating staff to an alternate staff and location to sustain essential functions.
- Addresses disasters that render an organization's leadership and staff unavailable or incapable of performing essential functions from either its primary or continuity facilities.



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Continuity and Devolution

	Continuity	Devolution
Concept	Relocate existing staff to the organization's alternate location	Transfer the continuity mission to the organization's DERG
Planning	"Continuity Plan"	"Devolution Plan"
Implementation (including TT&E)	Continuity personnel train, exercise, and perform essential functions	DERG personnel train, exercise, and perform essential functions

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Developing a Devolution Plan

- Developing a devolution plan involves:
  - Identifying essential functions that must devolve.
  - Creating a roster of personnel equipped to perform their assigned essential functions from the devolution site.
  - Identifying roles and responsibilities of personnel.
  - Identifying activation protocols for the devolution plan.
  - Including a description of how and when control of agency operations will be transferred (e.g., triggers).
  - Identifying capabilities for reconstituting authorities to their pre-event status.

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Mutual Aid Agreements

- Supplement or temporarily perform EFs;
- Formalize integration of mutual aid;
- Increase access to vital resources; and
- Bridge public and private sectors.

Gushank Office of Public Safety has a **mutual aid agreement** with the neighboring town of Hamberg to supplement fire, law enforcement, and emergency medical services personnel in the event that a disaster overwhelms Gushank's ability to provide emergency services.

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Gushank Devolution Example



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BIA-Risk Mitigation Process

Business Impact Analysis

Step 1: Identify Potential Threats and Hazards
What threats and hazards are most likely to disrupt EF performance?

Step 2: Describe How the Threat or Hazard Can Impact the Essential Function
What characteristics of the threat or hazard can disrupt the performance of the EF?

Risk Mitigation

Step 3: Identify and Assess Risk Mitigation Strategies and Options
Review BIA results with leadership and identify and assess risk mitigation strategies and options.

Step 4: Develop and Incorporate Risk Mitigation Strategies Into Continuity Plan
Develop mitigation approaches and incorporate into continuity or implementation plan.

Step 5: Assess Risk Mitigation Effectiveness
TT&E and assess the implementation of the mitigation strategy.

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BIA-Risk Mitigation Worksheet

BIA/RISK MITIGATION WORKSHEET: **Threat and Hazard Analysis**			
EF Number and Statement:			
	Step 1	**Step 2**	**Step 3**
Entry #	**Threat or Hazard**	**Threat or Hazard Characteristics and Potential Impacts**	**Mitigation Strategy (Unit 5)**
1	Input Threat or Hazard	Input the Threat or Hazard characteristics and likely effects on the organization or region. It is important to provide sufficient data to help characterize the likelihood of occurrence and evaluate the EF vulnerability and impact. If a lot of data is available, consider attaching a separate sheet.	Risk Strategies: • Transfer • Avoid • Accept • Control
2	Severe Winter Storm	24 or more hours of active severe winter weather including 12" + of snow; power lines down; impassable roads; facilities closed.	• Telework in unaffected areas • Memorandum of Agreement with a partner organization
3	Cyber Attack	Computer network breach – malware discovered that restricts access to information stored on office's server. All mapped network drives infected.	• Purchase redundant server at the alternate location • Devolve operations to another location

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Activity: Complete BIA-Risk Mitigation Process

Instructions:

1. Work individually or in groups.
2. Return to the BIA-Risk Mitigation Worksheet that you started in Unit 4. Complete the final step by identifying mitigation strategies for each threat/hazard.
3. Use Worksheet #4 to complete this activity.
4. Be prepared to share your response.



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Unit 5 Knowledge Check (1 of 2)

1. What is devolution? Select all that apply.
   A. The transfer of responsibility from an organization's primary operating staff to alternate staff at an alternate location in order to sustain EFs.
   B. Devolution is a type of grant funding.
   C. Devolution is a planning option.
   D. Devolution is the process used to create an ERG.



2. What are common alternate location factors an organization should consider? Select all that apply.
   A. The ability to decorate the location.
   B. The distance from the primary facility to avoid impact from an incident.
   C. The availability of interoperable communications.
   D. Considerations for health, safety, and security.

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Continuity Planning Process: Step 6



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Identify Key Elements

- Critical elements required to execute mitigation options.
- Foundation of how an organization functions – critical both day-to-day as well as during continuity events.
- People
  - Human Resources
  - Orders of Succession
  - Delegations of Authority
- Technology
  - Essential Records
  - Communications

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Human Resources Considerations

- Personnel are an organization's most valuable resource.
- Concerns for human resources in continuity situations include:
  - Identifying personnel with continuity roles;
  - Communicating with ALL employees (ERG and non-ERG); and
  - Providing resources to personnel.



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Identifying Personnel Needs

- What is the minimum number of persons required to perform each essential function?
- What is the mitigation strategy (e.g., relocation, devolution, telework)?
- How many shifts will be scheduled?
- What support personnel are needed?

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Selecting Continuity Personnel

- Link to essential functions;
- Determine who can do the work;
- Consider combining positions, if necessary;
- Inform personnel of designation;
- Select back-up personnel; and
- Provide training or cross-training.



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Other Human Resources Guidelines

- Identify a human resources liaison to work with the continuity program.
- Include or reference organization, facility, and/or geographic region guidance in plan.
- Provide guidance on individual and family preparedness measures employees should undertake.
- Institute methods for employees and managers to become familiar with human resources guidance.

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Gushank Continuity Personnel

	Continuity Personnel
EF #3 Operate the emergency communications telephone and radio system	• Dispatchers and supervisors (all 3 shifts) (ERG) • Police Sergeant (ERG) • Fire Captain (ERG) • HazMat Captain (ERG) • EMS Captain (ERG) • Dispatch Center Manager (ERG) • IT Support personnel (ERG) • Facilities team (Support personnel) • Security personnel (Support personnel) • Dispatch surge support (Support personnel) • Local power company (ERG – Contract) • Local phone company (ERG – Contract) • Internet provider (ERG – Contract) • Mayor's Office Liaison (Support personnel)

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Activity: Planning for Human Resources

Instructions:

1. Work individually or in groups.
2. Using the continuity personnel roster, list your continuity personnel by EF (by position not name).
3. List special operational or support personnel that may be required regardless of the continuity situation.
4. Use Worksheet #5 to complete this activity.
5. Be prepared to share your responses.



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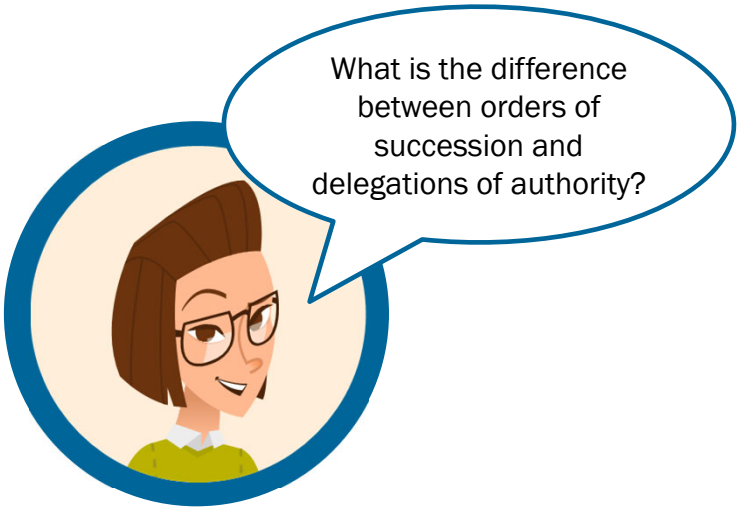
Discussion: Orders of Succession and Delegations



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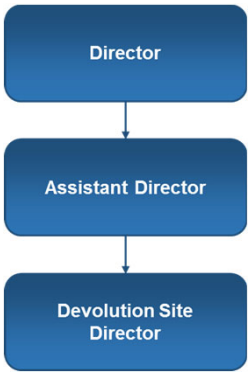
Orders of Succession

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



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Orders of Succession Guidelines

All orders of succession should include:

- Conditions under which succession takes place;
- Method of notification;
- Conditions under which authority returns to the agency leader;
- Temporal, geographical, or organizational factors in identifying successors; and
- Rules and procedures officials must follow when facing succession to office.



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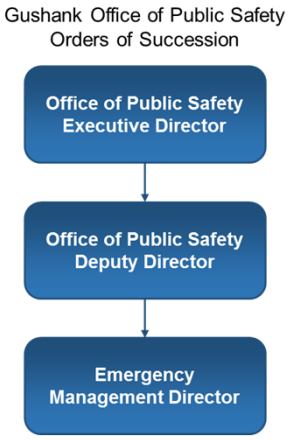
Orders of Succession Guidelines, cont.

All orders of succession should be:

- Three positions deep and geographically dispersed, if possible;
- Listed by position, not names;
- Reviewed by the organization's General Counsel; and
- Maintained with the organization's essential records.



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Gushank Orders of Succession

- **Conditions:** The Executive Director cannot be physically found or contacted for 3 hours in an emergency situation, or 24 hours in a non-emergency situation.
- **Method:** Attempt every known method of communication until receipt acknowledged: in person, via phone (call and text), email, satellite phone.
- **Return of Authority:** Authority returns to Executive Director when he/she is able to return to the primary or alternate location or have full communications capabilities. In the event the leader must be replaced, authority returns when the Mayor has appointed the new Executive Director.
- **Rules:** The Mayor or official delegated successor and the Gushank General Counsel/Office of Public Safety Legal Counsel the must confirm the transfer.

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Activity: Orders of Succession

Instructions:

1. Work individually or in groups.
2. List the orders of succession for your organization's leadership and outline the:
   - Conditions under which succession takes place;
   - Method of notification;
   - Conditions under which authority returns to the agency leader;
   - Factors in identifying successors; and
   - Rules and procedures officials must follow during succession.
3. Use Worksheet #6 to complete this activity.
4. Be prepared to share your response.



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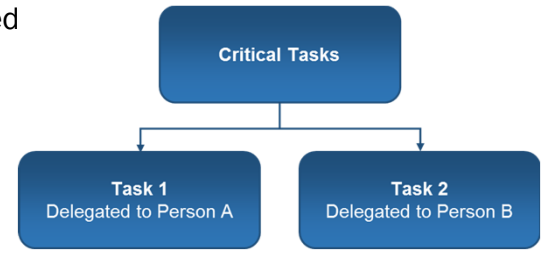
Delegations of Authority

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



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Delegations of Authority Guidelines

Delegations of authority state specifically:

- The authority being delegated;
- The limits of that authority;
- To whom the authority is delegated;
- The circumstances under which delegated authorities become effective and when they terminate; and
- The authority to re-delegate those authorities.

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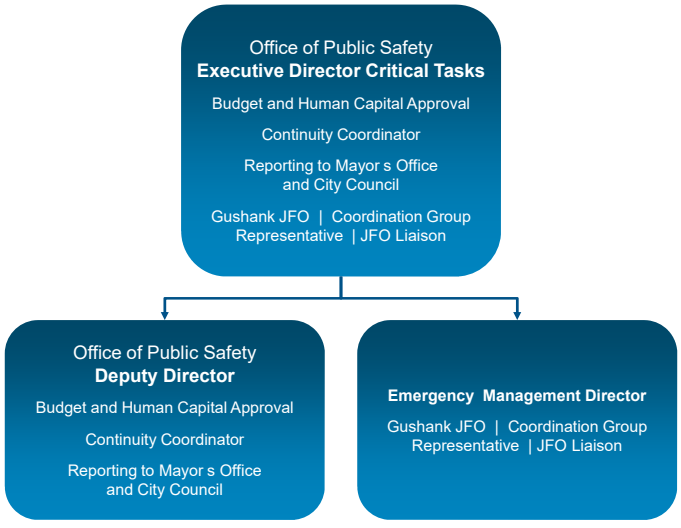
Gushank Delegations of Authority



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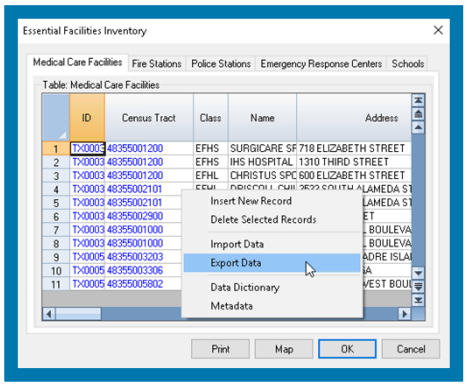
Essential Records Planning

- Plan for maintaining vital data on redundant servers at different locations and for accessing hard copy records.
- Implement procedures to ensure all vital data on secure systems are current.
- Incorporate essential records program into the overall continuity program and plans.
- Develop and maintain a complete essential records inventory.



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Essential Records Guidelines, cont.

- Include the written designation of an essential records manager.
- Perform a risk assessment on the locations and media of essential records.
- Ensure appropriate protections for essential records.
- Conduct testing, training, and review of essential records and program.



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Case Study: Importance of Essential Records Planning

- The City of Atlanta's network experienced a ransomware attack.
  - City employees were unable to use their computers and online services for the public were unavailable for days.
  - City files were permanently lost.
  - Some services were able to continue with paper processing instead of electronic.
- The Atlanta Department of Procurement spent over $2M in emergency contracts to recover from the attack and rebuild.
- Atlanta decided to retrain employees in cybersecurity and upgrade equipment and systems.



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Essential Records Packet/File

- Purpose:
  - Compilation of key information, instructions, and documentation needed to access essential records during an emergency.
- How it supports the base Continuity Plan:
  - Identifies and outlines the activities to protect records which are vital to the continuation of EFs and the reconstitution of the organization post-emergency.
- Includes:
  - Inventory of essential records;
  - Records access mechanisms and requirements;
  - Alternate location information; and
  - Continuity personnel information.

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Communications

Continuity of communications and information systems is the capability to provide connectivity between internal and external customers in order to perform EFs until normal operations can be resumed.



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Discussion: Communication Needs



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Continuity Communications



- Support the organization's EFs.
- Provide the ability to communicate with:
  - ERG personnel;
  - Management; and
  - Other organizational components, including non-ERG personnel.
- Provide the ability to communicate with other stakeholders, organizations, and emergency personnel.
- Include access to other data and systems necessary to perform EFs.

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Communications Guidelines

Continuity communications and information systems should be:

- Redundant and resilient;
- Available within identified timeframe;
- Sustainable until normal operations can be resumed;
- Available to support leadership in transit to alternate locations; and
- Able to provide assured and priority access to communications resources.

Gushank Communications Tracking Table

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
Non-Secure Phones	ALL	AT&T	None	MCI	
Secure Phones	ALL	AT&T	None	MCI	
Fax Lines	ALL	AT&T	None	MCI	
Cellular Phones	ALL	Verizon	None	AT&T	
Satellite	Exec. Dir.	Verizon	Iridium	AT&T	With data package
E-mail	ALL	Spectrum	Fiber	Century Link	Alt. Location DR
Internet Access	ALL	Spectrum	Fiber	Century Link	Alt. Location DR
Data Lines	ALL	Spectrum	Fiber	Century Link	Alt. Location DR
Two-way Radios	2, 3	Motorola	800MHz	Alcatel	Contract Exp. 2028
GETS Cards	1	DHS	None	None	Special authorization

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Unit 5 Knowledge Check (2 of 2)

1. What are orders of succession?
   A. How elected officials delegate funding to the continuity program.
   B. Predetermined leadership positions during an emergency.
   C. An outline of the critical tasks associated with the emergency.
   D. The list of continuity plan signatories.



2. Essential records should include:
   A. Data that is vital to the performance of EFs.
   B. Records access mechanisms and requirements.
   C. Both electronic and hard copies.
   D. All of the above.

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Unit 5 Summary

In this unit, we discussed:



- ✓ Mitigation strategies such as:
  - Alternate locations
  - Telework policies
  - Devolution
  - Mutual aid agreements
- ✓ Key Elements in planning
  - People – Human Resources, Orders of Succession, and Delegations of Authority
- ✓ Technology – Essential Records and Communications

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UNIT 6: Continuity Plan Development

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Unit 6 Objectives

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

1. Review the four phases of continuity and how they are documented in the plan.
2. Review continuity plan activation procedures.
3. Identify planning considerations for developing a continuity plan.
4. Discuss the elements of a continuity plan.
5. Demonstrate an understanding of a comprehensive continuity plan.



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Continuity Planning Process: Steps 7-8



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Phases of Continuity



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Phase I: Readiness & Preparedness

- Draft Plans and procedures;
- Identify mitigation strategies;
- Conduct Test, training, and exercise activities;
- Conduct after action reviews; and
- Implement corrective actions.

WE ARE IN PHASE I!

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Discussion: Activation Procedures



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Phase II: Activation

- Activation of the plan.
- Alert and notification of relevant parties.
- Deploying personnel and essential records to alternate location.
- Providing guidance to personnel.
- Procurement of supplies/equipment not already in place.



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Continuity Plan Activation

- Some indicators that continuity plan activation is required are obvious.
- In other situations, the need for continuity plan activation may be less clear or a slow moving activation.
- A decision matrix in the plan should address both warning and without warning events.



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Example Activation Decision Matrix

	Duty Hours	Non-Duty Hours
Event With Warning	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees safe remaining in the facility and/or area?	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day?
Event Without Warning	• Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders? • How soon must the organization be operational?	• Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational?

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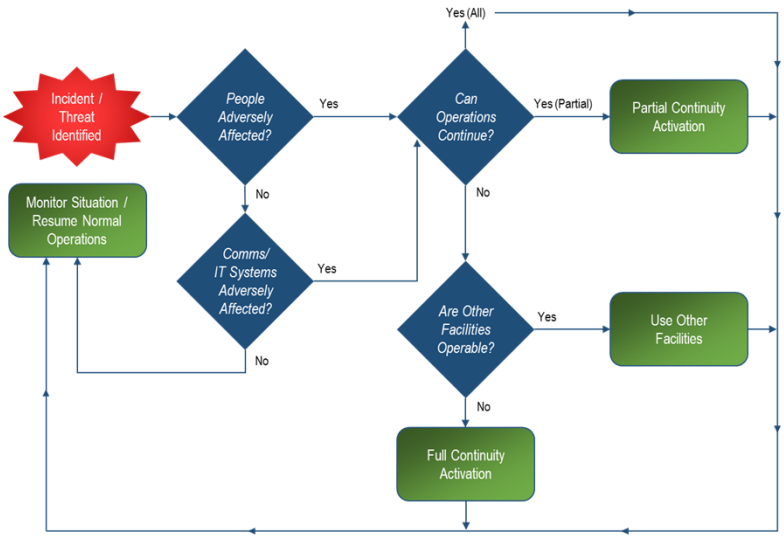
Gushank Decision Matrix Example



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Identifying Triggers

Triggers will vary depending on the threat:

- Natural hazards may be linked to a National Weather Service watch or warning.
- Technological hazards may be linked to activation of the Emergency Alert System (EAS).
- Human-caused hazards may be linked to FBI or DHS alerts.



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Alert and Notification

Who should your organization notify?

- Alternate locations and on-site support teams;
- Subordinate and headquarters organizations;
- Employees (ERG and non-ERG); and
- Other stakeholders, as appropriate.



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Alert and Notification, cont.

- Does your Continuity Plan . . .
  - Distinguish between alert and notification?
    - An alert is a warning of the potential need to activate the Continuity Plan.
    - A notification is the message that the Continuity Plan is being executed.
  - Specify how personnel will be alerted and notified?
  - Include direction about what they should do?
  - Incorporate strategies for keeping continuity and non-continuity personnel informed throughout continuity operations?



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Gushank Communications Example

Trigger	Alert	Notification	Plan Activation
National Weather Service (NWS) Winter Storm Watch	"A NWS Winter Storm Watch has been issued. The Employee Emergency Notification System has been activated in preparation."	"In preparation for the incoming storm, please log into the Emergency Notification System, update your personal information, and log your work location for the next 72 hours."	Partial
NWS Winter Storm Warning	"A NWS Winter Storm Warning has been issued. Please take proper precautions for your family and check your email for instructions."	"All employees are required to telework tomorrow. Please call into your respective division call at 9am."	Full

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Activity: Continuity Event Communications

Instructions:

1. Work individually or in groups.
2. Look back to the threats/hazards on your BIA Worksheet. Create at least three alerts or notifications for a no-notice event and three for an event with at least 24 hours notice. Include the triggers for these communications.
3. Use Worksheet #7 to complete this activity.
4. Be prepared to share your response.



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Phase III: Operations

- ERG or Continuity Team are performing EFs;
- Deploying personnel to alternate location or telework status; and
- Accessing (or moving) essential records.

During continuity operations, roadway access was cut off to Gushank Fire Stations 4 and 9. Personnel and equipment were relocated to the Fire Academy building. Academy personnel have been placed on standby to augment other department personnel. The Dispatch Center was notified of this change and updated the status in the system.

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Phase IV: Reconstitution

- The process by which agency personnel resume normal operations at the primary operating facility or new facility.
- Organizations must outline a plan to return to normal operations after agency leaders determine that reconstitution operations can begin.
- Reconstitution activities begin with the activation of the Continuity Plan, in order to begin consideration of the return to normal operations as quickly as possible.
- The Reconstitution Plan/Annex documents how the organization will return to normal operations after an emergency.



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Reconstitution Procedures

- Verify all systems, communications, and other required capabilities are available and operational.
- Supervise an orderly return to the normal operating facility or move to a temporary or new permanent operating facility.
- Identify essential records affected by the incident and ensure an effective transition or recovery of records.
- Conduct an after-action review of the effectiveness of the Continuity Plan and documenting issues in the Corrective Action Plan.



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Case Study: Navy Yard Reconstitution

Reconstitution after an active shooter incident.

- Reoccupation occurred 17 months after the incident.
- $6.4M facility renovation to improve and redesign the building.
- Personnel were temporarily reconstituted at a former Coast Guard facility.
- Personnel returned on a staggered weekly move-in schedule over nine weeks.
- Exemplifies the unique considerations and planning required when reconstituting personnel.



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Case Study: Redwood Credit Union



Redwood Credit Union (RCU) regularly practiced their disaster plan prior to the October 2017 Tubbs fire in the Napa Valley region.

2017 TUBBS FIRE

When the fire occurred Redwood was ready with back-up generators on site and had prepaid for diesel fuel to run the generators.

RCU provided members access to services and kept ATMs functioning during and after the fire.

Solutions to unexpected challenges include a three-week temporary day care service for employee's children while schools were closed.

A second operational facility was built in addition to the original headquarters.

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Drafting the Continuity Plan

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The Continuity Plan

- Provides an overview of the organization's approach to continuity.
- Includes a family of continuity plans that may include the base plan and other related continuity plans such as the devolution plan/annex.
- Serves as a roadmap for implementing and managing continuity activations.
- Assigns roles and responsibilities for the tasks required to perform continuity activities.
- Is a living document that should be reviewed and updated regularly.



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Getting Started

- Take time to think the planning process through.
- Become knowledgeable about the organization's current continuity program by reviewing current plans and policies, the Continuity Assessment Tool, and previous lessons learned and corrective actions, if available.
- Identify continuity planning roles and responsibilities.
- Establish a continuity planning team.
- Develop a project plan, timelines, and milestones.
- Brief leadership and stakeholders.



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Sample Plan Outline

I. Promulgation Statement
II. Essential Functions
III. Essential Records and IT Functions
IV. Human Resources
V. Communications
VI. Alternate Locations and Telework
VII. Reconstitution
VIII. Devolution
IX. Budgeting and Acquisition
X. Multiyear Strategic Planning
XI. Test, Training, & Exercise (TT&E) Program

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Functional Annexes

A. Continuity Personnel
B. Essential Records Management
C. Alternate Locations
D. Continuity Communications and Information Systems
E. Orders of Succession and Delegations of Authority
F. Human Resources
G. TT&E

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Activity: Plan Improvements



Instructions:

1. Work independently to complete this activity.
2. Think back through the discussions and activities in this course.
3. What do you plan to do first when you get back to your organization to improve your continuity plan? List the top three tasks that you will set out to complete.
4. Use Worksheet #8 to complete this activity.
5. Be prepared to share your list with the class.

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Plan Maintenance

Factors that may affect plan maintenance include:

- Change in leadership or personnel;
- Re-organization;
- Results of TT&E or real-world activations;
- Results of assessments; and
- Change in continuity resource, requirements, or guidance.



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Annual Maintenance Guidelines

On an annual basis, organizations should (non-federal) / must (federal):

- Review signed MOA/MOU for alternate locations;
- Re-evaluate its alternate locations;
- Review essential records packet/file; and
- Conduct an assessment of its continuity TT&E programs and continuity plans and programs.



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Plan Evaluation

- Continuity Assessment Tool (CAT) serves as an assessment tool to evaluate areas of strength and areas of improvement within continuity programs and plans.
- Assists organizations in meeting continuity guidelines as outlined in the CGC.
  - Initiating planning
  - Building a capability
  - Maintaining a capability

Getting Started: Initiating an Organizational Continuity Capability

		Continuity Capability Objective	0	1	2	3	4	5	6	7	8	9	10	Score
Planning	1.2	Has the organization coordinated with and integrated internal components and offices into the continuity planning process?	No effort nor recognition of need to coordinate continuity plans and programs across the organization.		The organization conducted preliminary efforts to identify intra-organizational continuity offices, plans, and programs, but has not yet conducted planning or coordination activities.			The organization has identified and reviewed other intra-organizational continuity offices, plans, and programs; active planning or coordination is in the initial stages.			The organization is currently coordinating and integrating with other intra-organizational offices and programs to synchronize continuity plans.		The organization formally coordinated and synchronized continuity plans with other intra-organizational continuity offices, plans, and programs. These partners are active participants in continuity program activities.	3
Training	1.10	Have those individuals with continuity roles and responsibilities received adequate continuity training?	No effort nor recognition of need to train those responsible for planning in continuity.		Individuals with continuity roles and responsibilities have not received adequate training; however, the organization has initiated efforts to identify and schedule necessary training.			Some individuals with continuity roles and responsibilities have received adequate training. The organization has developed a plan to train the remaining individuals.			All individuals with continuity roles and responsibilities, including leadership, the planning team, and continuity manager and planners, have received adequate continuity training.		All individuals with continuity roles and responsibilities, including leadership and the planning team, have received adequate continuity training. The continuity planners/ managers have received advanced training, such as achieving their FEMA Level I and Level II Continuity Practitioner certificate.	5
Exercise	1.11	Has the organization identified and incorporated the results from previous exercises and real-world events to guide the development of the continuity program?	No effort nor recognition of need to incorporate results from previous exercises and real-world events to guide the development of the continuity program.		The organization has made preliminary efforts to identify and collect the results from previous exercises and real-world events.			The organization has identified results from previous exercises and real-world events, but has not yet used the results to guide development of the continuity program or plan.			The organization used results from some previous exercises and real-world events to guide current planning efforts.		The organization used results from all previous exercises and real-world events to guide current planning efforts.	8

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Unit 6 Knowledge Check

1. The Continuity Plan elements could include:
   A. BPA, BIA, and Risk Mitigation Options
   B. Communications, Essential Records, Alternate Locations, and Human Resources
   C. Functional Annexes
   D. All of the above



2. Plan activation triggers vary based on threat.
   A. True
   B. False

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Unit 6 Summary

In this unit, we discussed:

- Phases of continuity;
- Plan activation procedures;
- Elements of a Continuity Plan; and
- Plan maintenance and evaluation.



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UNIT 7:
Course Summary

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Unit 7 Objective

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

1. Demonstrate knowledge of key concepts and strategies for developing, implementing, and updating a continuity plan that adheres to requirements and guidance.



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Course Objectives Review

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

1. Describe National Continuity Policy, continuity guidance, directives, and background.
2. Identify the roles and responsibilities of key personnel involved in developing and maintaining a continuity plan.
3. Describe the essential function identification process.
4. Describe how to conduct a BPA and BIA.
5. Identify mitigation options to reduce an organization's risk and key planning elements to support those options.
6. Demonstrate knowledge of key concepts and strategies for developing and maintaining a viable continuity plan.



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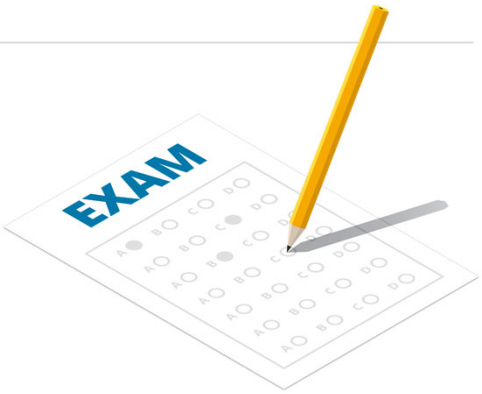
Activity: Final Exam

Instructions:

1. Complete the identifying information on the answer sheet.
2. Answer each of the exam questions.



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Course Adjournment

- Thank you for participating in this course!
- For questions about the material please contact: FEMA-Continuity-Practitioner@fema.dhs.gov.



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E/L1301: Continuity Planning
STUDENT MANUAL APPENDIX

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Worksheet #1

Activity: Identify Stakeholders

List your continuity program's internal stakeholders that should be a part of your Continuity Working Group (CWG). List your continuity program's external stakeholders that may be impacted by the performance of your essential functions and should participate in your CWG.

Stakeholder Roster			
Internal	**Currently on CWG**	**External**	**Currently on CWG**

Worksheet #2

Activity: Essential Function Identification

Identify three or more major organizational functions that support performance of your organization's mission. Instructions are found in the first column. Remember: essential means the function cannot be deferred or delayed, or transferred to another organization.

Organizational Functions Worksheet						
Function	**Requirement to Perform Function**	**Products or Services of Function**	**Customer**	**Non-Essential (X)**	**Essential Function (X)**	**Essential Supporting Activity (X)**
Include a description of the function in basic terms.	List the applicable statue, regulation, presidential directive, or other legal authority.	List the products or services delivered, or actions each function accomplishes.	List the customer(s) who receive the products or services. Customers can be internal or external.			

Business Process Analysis Data Sheet: Instructions

Business Process Analysis Data Sheet
EF Statement and Description: A concise statement of what your Essential Function (EF) is and a description. What does it do? This is not a complete process flow, as that will come later.
EF Outputs (Step 1): Identify products, services, and information (i.e., deliverables or outputs) that result from performance of the EF. An organization also identifies the partners and stakeholders that receive the outputs. The description should include appropriate metrics that identify specific performance measures and standards, as the EF output timeframes will inform the BIA.
EF Inputs (Step 2): Identify products, services, information, supplies, equipment, and other resources (i.e., inputs) required to perform the EF and deliver the EF outputs, which may be internal to the organization or depend on external partners. Organizations should identify what input is required, from whom, and when, as the input may be required at the beginning of EF performance or as the functional process proceeds. The input descriptions should include delivery time requirements, which will inform the BIA.
Dependencies and Interdependencies (Step 3): Identify dependencies and interdependencies with partners and stakeholders required to perform the EF, to include other government organizations, critical infrastructure owners and operators, non-governmental organizations, private sector organizations, and others as appropriate. The description should include information on the ability and expectations of dependent organizations to provide required inputs during a disruption to normal operations.
Leadership (Step 4): Identify organizational leadership required to make decisions and perform other key actions necessary to perform the EF. The description should include the location of appropriate senior leadership, specifically if their action can be performed remotely or they are needed at a certain facility, as well as communication requirements to support EF performance.
Staff (Step 5): Identify staff required to perform the EF. The description should include appropriate knowledge, skills, abilities, expertise, experience, certifications, licenses, clearances or permissions needed, and the number of staff required to perform the EF.
Communications and Information Systems (Step 6): Identify communications and information systems required to perform the organization's EFs. The description should include specific capabilities or data needed, classification requirements, and any other unique requirements. The description should also include information on system dependencies and interfaces with other systems or data sources.
Alternate Location Requirements (Step 7): Identify facility requirements needed to perform the organization's EFs. The description should include space, configuration, security, safety, support services (e.g., lodging, food services, medical support), and storage requirements appropriate for the organization's operations.
Resources and Budgeting (Step 8): Identify resource and budget requirements to perform the EFs for whatever time period is required by the organization's governing directives, authorities, etc. following a continuity activation or until normal operations are resumed. Resources not yet captured in the BPA process may include standard operating procedures, essential records, and reference materials required for EF performance. The description should include and account for funding requirements for all identified resources needed to perform the EF and any supporting activities.

Business Process Analysis Data Sheet
Process Details (Step 9): Develop a narrative description that captures all information gathered during Steps 1-8 and describes the process of performing the EF. The organization will develop appropriate diagrams or other informational aids to support the narrative description. Documenting the process will not only describe how the EF is accomplished, but will also validate the information compiled and limit omission of any details.
Other Comments: Organizations can add any other details not previously captured.

Worksheet #3

Activity: Conduct a Business Process Analysis

Business Process Analysis Data Sheet (EF #1)
EF Statement and Description:
EF Outputs (Step 1):
EF Inputs (Step 2):
Dependencies and Interdependencies (Step 3):
Leadership (Step 4):

Business Process Analysis Data Sheet (EF #1)
Staff (Step 5):
Communications and Information Systems (Step 6):
Alternate Location Requirements (Step 7):
Resources and Budgeting (Step 8):
Process Details (Step 9):
Other Comments:

Business Process Analysis Data Sheet (EF #2)
EF Statement and Description:
EF Outputs (Step 1):
EF Inputs (Step 2):
Dependencies and Interdependencies (Step 3):
Leadership (Step 4):
Staff (Step 5):

Business Process Analysis Data Sheet (EF #2)
Communications and Information Systems (Step 6):
Alternate Location Requirements (Step 7):
Resources and Budgeting (Step 8):
Process Details (Step 9):
Other Comments:

Business Process Analysis Data Sheet (EF #3)
EF Statement and Description:
EF Outputs (Step 1):
EF Inputs (Step 2):
Dependencies and Interdependencies (Step 3):
Leadership (Step 4):
Staff (Step 5):

Business Process Analysis Data Sheet (EF #3)
Communications and Information Systems (Step 6):
Alternate Location Requirements (Step 7):
Resources and Budgeting (Step 8):
Process Details (Step 9):
Other Comments:

Worksheet #4

Activity: Conduct a Business Impact Analysis (Step 1 & 2) and the Risk Mitigation Process (Step 3)

See directions in Entry #1 of the Business Impact Analysis and Risk Management Worksheet below. Step 2 must be completed before Step 3.

BIA/RISK MITIGATION WORKSHEET: **Threat and Hazard Analysis**			
***EF Number and Statement*:**			
	Step 1	**Step 2**	**Step 3**
Entry #	**Threat or Hazard**	**Threat or Hazard Characteristics and Potential Impacts**	**Mitigation Strategy**
1	*Input Threat or Hazard*	*Input the threat or hazard characteristics and likely effects on the organization or region. It is important to provide enough data to help characterize the likelihood of occurrence and evaluate the EF vulnerability and impact.*	*Identify mitigation approaches to reduce vulnerability. More than one option may be developed.*
2			
3			
4			

Worksheet #5

Activity: Planning for Human Resources

List your continuity personnel (position, not name) by Essential Function.

Continuity Personnel Roster	
Function	**Title/ Position**
EXAMPLE **EF #1:**	Division Head, Enforcement and Remediation Division *Alternate: Deputy Division Head, Enforcement and Remediation Division*
EF #1	
EF #2	
EF #3	
EF #4	

Position responsible for ensuring Continuity Personnel Roster is up to date:

Worksheet #6

Activity: Orders of Succession

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.*

SAMPLE Order of Succession List

Position	Designated Successors
EXAMPLE: 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
Position:	1.
	2.
	3.
Position:	1.
	2.
	3.
Position:	1.
	2.
	3.
Position:	1.
	2.
	3.

SAMPLE Orders of Succession Requirements

Succession Requirement	Requirement Description
Conditions under which succession takes place:	
Method of notification:	
Conditions under which authority returns to the agency leader:	
Factors in identifying successors:	
Rules and procedures officials must follow to complete this activity:	

Position responsible for ensuring orders of succession are up to date:

_____

Worksheet #7

Activity: Continuity Event Communications

Look back to the threats/hazards on your BIA Worksheet. Create at least three alerts or notifications for both a no-notice event and an event with at least 24 hours-notice.

Continuity Event Communications Tracking Table				
Alert/Notification	**Trigger**	**Sender**	**Receiver**	**Method**

Position responsible for ensuring the Continuity Event Communications Tracking Table is up to date:

_____

Worksheet #8

Activity: Plan Preparation

Identify tasks to update or complete your organization's Continuity of Operations Plan. Use the table on the following page as a reference for the Relevant Course Topic/Activity column in the table on page 1.

Plan Preparation Tasks

Task	Relevant Course Topic/Activity
Additional Tasks/Notes	

Unit/Continuity Plan Template References

Topic/Activity	Continuity Plan Template Reference
Unit 2: Stakeholders	Continuity Plan Template for Non-Federal Entities: • Interdependencies, pg. 1 • Alert & Notification, pg. 15 • Contact Rosters, pg. 16 Continuity Plan Template for Federal Departments and Agencies: • Alert and Notification Procedures, pgs. 11-12
Unit 3: Identify Essential Functions	Continuity Plan Template for Non-Federal Entities: • Essential Functions, pgs. 1-3 Continuity Plan Template for Federal Departments and Agencies: • Annex A, Essential Functions, pgs. A-1 – A-4
Unit 4: Conduct a BPA Conduct a BIA	Continuity Plan Template for Non-Federal Entities: • BPA: Essential Functions, pgs. 1-3 • BIA: Essential Functions/Business Impact Summary, pgs. 1-3 Continuity Plan Template for Federal Departments and Agencies: • BPA: Annex A, Essential Functions, pgs. A-1 – A-4 • BIA: Annex A, Essential Functions, pgs. A-1 – A-4
Unit 5: Complete BIA-Risk Mitigation Process	Continuity Plan Template for Non-Federal Entities: • BIA: Essential Functions, pg. 1 • Mutual Aid Agreement Template: Alternate Locations, pgs. 17-20 • Essential Records Database: Essential Records, pg. 4 • Communications Systems Tracking Table: Communications, pg. 14 • Continuity Event Communications Tracking Table: Continuity Event Communications, pgs. 15-16 Continuity Plan Template for Federal Departments and Agencies: • BIA: Annex A, Essential Functions, pgs. A-1 – A-4 • Risk Mitigation: Annex I, Risk Management, pg. I-1 • Mutual Aid Agreement Template: Annex D, Continuity Facility Information, D-2 • Essential Records Database: Annex C, Essential Records, pgs. C-1 – C-4 • Communications Systems Tracking Table: Continuity Communications, pg. E-1

Topic/Activity	Continuity Plan Template Reference
Unit 6: Planning for Human Resources Orders of Succession	Continuity Plan Template for Non-Federal Entities: • Human Resources, pgs. 6-10 • Orders of Succession, pgs. 10-11 Continuity Plan Template for Federal Departments and Agencies: • Annex G, Human Resources, pgs. G-1 – G-2 • Annex F, Orders of Succession, pgs. F-1 – F-3
Unit 7: Plan Preparation	Continuity Plan Template for Non-Federal Entities: • Reconstitution, pg. 21 • Devolution, pg. 23 • Budgeting & Acquisition, pg.26 • Multi-Year Strategic Planning, pg. 27 • Test, Training, and Exercise, pg. 28 • Support Appendices, pgs. 33-36 Continuity Plan Template for Federal Departments and Agencies: • Reconstitution Operations, pgs. 14-17 • Devolution, pgs. 17-18 • Budgeting & Acquisition, pgs. 20-21 • Multi-Year Strategic Planning, pg. 20 • Test, Training, and Exercises, pg. H-1