



Continuity Assistance Tool (CAT)

Continuity Assistance for Non-Federal Entities

(States, Territories, Tribal, and Local Government Jurisdictions
and Private Sector Organizations)

July 2009



FEMA

This page intentionally left blank.

TABLE OF CONTENTS

CONTINUITY ASSISTANCE TOOL OVERVIEW.....i

 PURPOSE.....i

 BACKGROUND.....i

 BENEFITS OF THE CAT.....i

 ABOUT THE CAT.....ii

 CAT PROCESS.....iv

CONTINUITY MANAGEMENT FUNCTIONS FOR CONTINUITY ASSISTANCE TOOL..... v

GENERAL INFORMATION.....vii

CONTINUITY MANAGEMENT FUNCTIONS SUMMARY.....ix

CONTINUITY ASSISTANCE TOOL..... 1

 1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY..... 1

 1.1 ESSENTIAL FUNCTIONS..... 1

 1.2 ORDERS OF SUCCESSION..... 6

 1.3 DELEGATIONS OF AUTHORITY..... 10

 1.4 CONTINUITY FACILITIES..... 13

 1.5 CONTINUITY COMMUNICATIONS..... 19

 1.6 VITAL RECORDS MANAGEMENT..... 22

 1.7 HUMAN CAPITAL..... 28

 1.8 TEST, TRAINING, AND EXERCISE PROGRAM..... 32

 1.9 DEVOLUTION OF CONTROL AND DIRECTION..... 40

 1.10 RECONSTITUTION OPERATIONS..... 43

 2 CONTINUITY PROGRAM FOUNDATION..... 47

 2.1 PROGRAM PLANS AND PROCEDURES..... 47

 2.2 RISK MANAGEMENT..... 53

 2.3 BUDGETING AND ACQUISITION OF RESOURCES..... 55

APPENDIX A: OPERATIONAL PHASES AND IMPLEMENTATION (CMF 2.4)..... A-1

 2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION..... A-1

APPENDIX B: REFERENCES..... B-1

APPENDIX C: CONTINUITY PRACTITIONER COURSES..... C-1

APPENDIX D: LIST OF ACRONYMS.....D-2

This page intentionally left blank.

CONTINUITY ASSISTANCE TOOL OVERVIEW

PURPOSE

This Continuity Assistance Tool (CAT) provides guidance and assistance for States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations (collectively referred to herein as “organizations”) to identify continuity program strengths and areas for improvement.

BACKGROUND

National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) *National Continuity Policy* was issued by the President to establish and maintain a comprehensive and effective national continuity capability. The National Continuity Policy Implementation Plan (NCPIP) builds upon the Policy and provides guidance to executive departments and agencies and non-Federal entities (including State, local, tribal, and territorial governments, and the private sector) on identifying and carrying out their Essential Functions to lead and sustain the Nation during a catastrophic emergency. The NCPIP also encourages coordination among Federal, State, local, tribal, and territorial governments and the private sector to achieve a comprehensive and integrated continuity capability. Through this collaborative effort, our national security posture can be enhanced to enable a more rapid and effective response to, and recovery from, a national emergency.

The Federal Emergency Management Agency (FEMA), in coordination with its non-Federal partners developed Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities, States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations*, to provide operational guidance to implement the NCPIP. This assistance tool captures the key elements necessary for organizations to create a comprehensive continuity program and plan, as described in CGC 1, and provides a method to review those continuity programs and plans.

Continuity programs and operations are fundamental practices that allow critical services to remain available under all conditions. The CAT was created to establish industry-wide benchmarks for the management, overall performance, and readiness of organizations to respond to a continuity event. The tool allows for organizations throughout the United States to examine their continuity capability by utilizing an easy-to-use national and uniform method to identify gaps in continuity programs and justify the funding and resources needed for improvements. Through identifying and filling these gaps, viable continuity programs can be established to help keep organizations functioning during emergencies.

The CAT is useful for all organizations regardless of location, size and status of existing continuity programs or plans. The tool describes the elements necessary to establish and maintain a viable continuity capability and can assist with establishing a foundation and framework for building a comprehensive program. If an organization does not have an existing program, the CAT can be used as a checklist to create an initial continuity plan and program.

BENEFITS OF THE CAT

The CAT:

1. Allows for comprehensive continuity program review.
2. Defines/refines continuity program baseline for strategic planning to correct deficiencies and achieve the required capabilities.
3. Provides program orientation for new staff members and leaders.
4. Creates a framework for budget, staff, and resource justification.
5. Enables the development of plans to rectify deficiencies.

ABOUT THE CAT

The CAT process is designed to guide the operational readiness and capabilities of organizations to help ensure the performance of Essential Functions and services under any circumstance. The tool is divided into two continuity categories: (1) Elements of a Viable Continuity Capability and (2) Continuity Program Foundation. These categories are further grouped into **Continuity Management Functions (CMF)** that describes specific key components of continuity.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Guidance Circular 1 describes ten elements that are necessary, to establish and maintain a comprehensive and effective continuity capability. The ten elements of a viable continuity capability are:

- 1.1 Essential Functions
- 1.2 Orders of Succession
- 1.3 Delegations of Authority
- 1.4 Continuity Facilities
- 1.5 Continuity Communications
- 1.6 Vital Records Management
- 1.7 Human Capital
- 1.8 Test, Training, and Exercise Program
- 1.9 Devolution of Control and Direction
- 1.10 Reconstitution Operations

2. CONTINUITY PROGRAM FOUNDATION

An organization's resiliency is built upon a foundation of continuity planning and continuity program management. This foundation is comprised of (1) plans and procedures to help guide leadership during a crisis, (2) risk management initiatives to identify, control, and minimize the impact of uncertain events, (3) adequate budgeting and resource allocation to support resiliency efforts, and (4) operational phases that help guide implementation of the continuity plan during various phases of a continuity event. The four supporting components of a Continuity Program Foundation are:

- 2.1 Program Plans and Procedures
- 2.2 Risk Management
- 2.3 Budgeting and Acquisition of Resources
- 2.4 Continuity Plan Operational Phases and Implementation (*included as the separate Appendix A due to its unique nature*)

These CMFs are described in detail in CGC 1 (see Appendix B: References), and are summarized on pages v and vi. The guidance document addresses common attributes of continuity programs and provides detailed suggestions of how to create a viable continuity capability. However, some CMFs may not be appropriate for all organizations and may be excluded if they are not applicable.

Each CMF is subdivided into **Attributes**, and these attributes are further subdivided into **Characteristics**. **Attributes** are broad criteria by which the performance of a CMF in a particular area can be addressed. **Characteristics** are detailed criteria that further clarify the area being assessed.

The CAT questions are subjective in nature. Therefore, it is reasonable to expect some variability from organization to organization when characteristics are reviewed. This flexibility is acceptable, since no two organizations' continuity programs are identical.

Organizational leadership and other personnel supporting continuity plans and programs are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II). This training will assist organizations develop and execute continuity functions. The Continuity Practitioner requirements list can be found in Appendix C. Additional continuity training information can be found at <http://www.fema.gov/about/org/ncp/coop/index.shtm>.

CAT PROCESS

The process provided below is the recommended method to apply this tool:

Step 1: The continuity manager meets with functional representatives (i.e., IT manager, HR manager, Security managers, etc.) of the organization to review the CAT.

Step 2: With the assistance of the continuity manager, the functional representatives review their respective characteristics.

Answer each characteristic “Yes”, “No”, or “Not Applicable” (N/A). Flexibility is built into the assistance tool. Therefore, “Not Applicable” (N/A) may be used for those characteristics that do not apply.

Some characteristics are identified as “critical” and are denoted with an asterisk (*) following the number. These critical characteristics represent high priority criteria necessary for functional continuity programs and plans. Responding “No” for these characteristics denote primary areas of focus for the organization. Funding and resources should be appropriately allocated to fulfill these critical areas to build a viable continuity capability.

Step 3: For each characteristic, a “comments” section is provided to enter any helpful notes.

Step 4: For each CMF, tally all Characteristics to obtain the “Yes”, “No”, and “N/A” CMF totals. Record this tally in the CMF header.

Step 5: Capture each CMF total in Table 2 - Continuity Management Functions Summary on page ix.

CONTINUITY MANAGEMENT FUNCTIONS FOR CONTINUITY ASSISTANCE TOOL

The Continuity Management Functions in this tool are defined as follows. For further information, please refer to CGC-1.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

1.1 ESSENTIAL FUNCTIONS

The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

1.2 ORDERS OF SUCCESSION

Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

1.3 DELEGATIONS OF AUTHORITY

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

1.4 CONTINUITY FACILITIES

Continuity facilities are locations from which leadership and critical positions may operate during a continuity event. These may include one or many facilities or virtual offices from which to continue essential operations.

1.5 CONTINUITY COMMUNICATIONS

Continuity communications are the systems that support full connectivity among leadership, internal elements, and other organizations to perform Essential Functions during a continuity event.

1.6 VITAL RECORDS MANAGEMENT

Vital records management is the identification, protection, and availability of information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a continuity event.

1.7 HUMAN CAPITAL

Human capital involves policies, plans, and procedures that address human capital needs during a continuity event, such as guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.

1.8 TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM

An effective TT&E program identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.

1.9 DEVOLUTION OF CONTROL AND DIRECTION

Devolution is the capability to transfer statutory authority and responsibility for Essential Functions from primary operating staff and facilities to other employees and facilities. It also provides the means to sustain that operational capability for an extended period.

1.10 RECONSTITUTION OPERATIONS

Reconstitution planning is the process by which organizations/personnel resume normal operations from the original or a replacement primary operating facility.

2. CONTINUITY PROGRAM FOUNDATION

2.1 PROGRAM PLANS AND PROCEDURES

Continuity planning is an effort to document the existence of, and seek the capability to continue Essential Functions during a wide range of potential emergencies.

2.2 RISK MANAGEMENT

Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization's readiness, and to provide them with options for risk mitigation.

2.3 BUDGETING AND ACQUISITION OF RESOURCES

The budgeting and planning process can help organizations provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.

2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION

Organizations must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on readiness posture. Organizations should integrate implementation procedures and criteria into their continuity plans. The continuity plan must address four phases of: (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These factors are most easily reviewed during an exercise or actual event. Therefore, they have been separated from the main tool and appear as Appendix A.

GENERAL INFORMATION

This section is provided to revisit an organization’s community information and continuity experience prior to starting the Continuity Assistance Tool. The preliminary questions asked below help “set the stage” for assisting an organization’s continuity program by refreshing the specifics of community, landscape, potential hazards, and continuity experience.

CONTACT INFORMATION

Organization Name:

Organization Location:

Continuity Manager Name:

Continuity Manager Telephone:

Continuity Manager Fax:

Continuity Manager Email:

GENERAL COMMUNITY INFORMATION

1. In which FEMA region(s) is your organization’s community located?

<input type="checkbox"/> I	<input type="checkbox"/> V	<input type="checkbox"/> IX
<input type="checkbox"/> II	<input type="checkbox"/> VI	<input type="checkbox"/> X
<input type="checkbox"/> III	<input type="checkbox"/> VII	
<input type="checkbox"/> IV	<input type="checkbox"/> VIII	

2. What are the primary natural hazards to your organization?
 - Hurricane
 - Tornado
 - Flooding
 - Earthquake
 - Other

3. What are the primary industrial hazards to your organization?
 - Nuclear test site/transportation route
 - Military bombing site
 - Radioactive waste site
 - Nuclear reactor
 - Other
 - None

4. What does the physical landscape of the community in which your organization operates resemble?
 - Desert
 - Mountainous/Hilly
 - Flat and/or Treeless
 - Forested
 - Grassy; Plains area

5. What body of water is your organization situated near? (Mark as many boxes as appropriate)
 - River
 - Lake
 - Ocean
 - None

CONTINUITY EXPERIENCE

1. Does your organization have a continuity plan?
 Yes
 No
 N/A

2. Has your organization participated in Continuity exercises?
 Yes
 No
 N/A

3. Has your organization had to activate their continuity of operations plan?
 Yes
 No
 N/A

4. Who is in charge of your Continuity Program?
 Emergency Management
 Safety
 Security Department
 Other

5. What type of guidance does your organization use in developing its continuity of operations plans and programs?
 Federal Guidance
 State/Local Guidance
 Commercial Guidance
 Other

CONTINUITY MANAGEMENT FUNCTIONS SUMMARY

Table 1: Continuity Management Functions Summary

Continuity Category	CMF	Continuity Management Function	Total Yes	Total No	Total N/A
Elements of a Viable Continuity Capability	1.1	Essential Functions			
	1.2	Orders of Succession			
	1.3	Delegations of Authority			
	1.4	Continuity Facilities			
	1.5	Continuity Communications			
	1.6	Vital Records Management			
	1.7	Human Capital			
	1.8	Test, Training, and Exercise Program			
	1.9	Devolution of Control and Direction			
	1.10	Reconstitution Operations			
Continuity Program Foundation	2.1	Program Plans and Procedures			
	2.2	Risk Management			
	2.3	Budgeting and Acquisition of Resources			
	2.4	Continuity Plan Operational Phases and Implementation (Appendix A)			

This page intentionally left blank.

CONTINUITY ASSISTANCE TOOL

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.1 ESSENTIAL FUNCTIONS		Number of Yes:		
<p>A subset of overall organization activities that are determined to be critical. These functions enable the organization to provide vital services, exercise civil authority, maintain the safety of the community, and sustain the industrial/economic base during an emergency. The functions must be continued under any and all circumstances.</p>		Number of No:		
		Number of N/A:		
Attribute				
<i>1.1.1</i>	<i>Identify and prioritize all Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.1.1*	Has the organization identified its Essential Functions and documented them in its continuity plan? [CGC 1 Annex D, Page D-1]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.2	Has the organization documented all of the requirements and procedures needed to perform Essential Functions, such as the establishment of contingency plans in the event that key resources are not available? [CGC 1 Annex A, Page A-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.3	Does the organization review its Essential Functions to determine those directed by applicable laws and statutory authorities? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.1.1.4	<p>Has the organization conducted a Business Process Analysis (BPA) to determine the Essential Functions that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency? [CGC 1 Annex D, Page D-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.1.2	<i>Identify and prioritize all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.2.1	Has the organization conducted a BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.2	Has the organization head or designee validated and approved the identified Essential Functions? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.3	Has the organization head or designee validated and approved the BPA? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.4	Has the organization determined the Essential Functions that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance? [CGC 1 Annex D, Page D-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.1.3	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.3.1	Has the organization identified how each Essential Function is performed and executed, using a business-process flow map? [CGC 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.3.2	Has the organization identified internal and external interdependencies that are part of and/or influence each Essential Function business process? [GCG 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Attribute				
1.1.4	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.4.1	Has the organization identified those Essential Functions that provide interdependent support to an Essential Function performed by another organization or to an Emergency Support Function (ESF) under the National Response Framework (NRF)? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.4.2	Has the organization identified those Essential Functions that require vital support from another organization to ensure the execution of their mission? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.4.3	Do the organization's continuity plans and procedures include considerations for the particular interdependencies identified within the BPA for each Essential Function, to include identifying when and where each interdependency would be executed? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.2 ORDERS OF SUCCESSION Provisions that enable an orderly and predefined transition of organizational leadership positions if an organization’s leader is incapacitated or becomes otherwise unavailable during a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.2.1	<i>Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws.</i>			
Characteristics				
1.2.1.1*	Are the orders of succession for the position of the organization’s head identified, and current, with revisions distributed to the organization’s personnel as changes occurred? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.1.2*	Are the orders of succession for other key positions for the organization, including but not limited to administrators, regional or field directors, key managers, other key essential personnel or their equivalent positions identified in the organization’s continuity plan and current? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.1.3*	Is the order of succession at least three positions deep, include devolution counterparts when applicable, and geographically dispersed where feasible? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.2.1.4	Does the organization describe its orders of succession by positions or titles, rather than by the names of the individuals holding those offices? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.2.2	<i>Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.</i>			
Characteristic				
1.2.2.1	Is the order of succession reviewed by the organization's general counsel (legal review) as changes occur? [CGC 1 Annex E]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.2	Does the order of succession identify the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and reference the applicable laws? [CGC 1 Annex E]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.3	Does the organization include temporal, geographical, and/or organization limitations to the authorities in its orders of succession procedures? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.4	Does the organization include orders of succession as a vital record and are copies accessible and/or available at the primary, alternate, and other continuity facilities? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.2.3	<i>Notify and train successors to leadership positions within the organization, with all training sessions recorded within the organization's training records.</i>			
Characteristics				
1.2.3.1	Does the organization include the method used to notify successors of their change in leadership status in its orders of succession procedures? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.3.2	Does the organization conduct annual successor training for all personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation, to include briefing successors to the position of the organization's head on their duties and responsibilities as a successor, as reflected within the organization's training records? [CGC 1 Annex E, Page E-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.3	DELEGATIONS OF AUTHORITY Specify who is authorized to act on behalf of the organization’s chief, chairman, elected leader, and other key leaders for specified purposes. They ensure that designated individuals have the legal authority to carry out their duties.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.3.1	<i>Identify and document the delegation of authority to make policy determinations and decisions for key organizational leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and other organization’s locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.</i>			
Characteristics				
1.3.1.1*	Do the organization’s delegation of authority document in advance (where designated) the legal authority for officials (including those below the level of the organization’s head) to make key policy decisions during a continuity situation? [CGC 1, Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.1.2*	Do the organization’s delegations of authority outline explicitly in a statement the authority of an official so designated to exercise the organization’s direction? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.1.3	Does the organization included delegations of authority in the vital records? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.3.1.4	Are the organization's delegations of authority written in accordance with applicable laws ensuring that the organization's Essential Functions are performed? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.3.1.5	Do the organization's delegations of authority delineate the limits of and any exceptions to the authority and accountability for officials? [CGC 1 Annex F, Page F-1].	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.3.1.6	Do the organization's delegations of authority outline explicitly in a statement, the authority of an official to re-delegate functions and activities, as appropriate? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.3.1.7	Do the organization's delegations of authority define the circumstances, to include a devolution situation if applicable, under which delegation of authorities would take effect and would be terminated? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

Attribute				
1.3.2	<i>Inform and train key officials on the organization delegations of authority, recording all training sessions within the organization training records, so that the organization can transfer leadership authority in an orderly manner, when applicable, during a response to any emergency.</i>			
Characteristic				
1.3.2.1*	Does the organization inform those officials who might be expected to assume authorities during a continuity situation, as required by its delegations of authority? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.2.2	Does the organization train these at least annually, for all pre-delegated authorities for making policy determinations and other decisions, at the headquarters, field, satellite, and other organizational levels, as appropriate, and as reflected in the organization's training records? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.4	CONTINUITY FACILITIES Locations from which the organization leadership and critical positions may operate during a continuity event. This may include one or many facilities or virtual offices from which to continue essential operations.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.4.1	<i>Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.</i>			
Characteristics				
1.4.1.1*	Does the organization identify and maintain at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the organization’s ability to initiate and sustain operations is minimized? [CGC Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.1.2*	Do the organization’s alternate facilities have sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.1.3*	Does the organization have a signed Memorandum of Agreement (MOA)/ Memorandum of Understanding (MOU) for all alternate facilities where it is co-located with another organization or for alternate facilities it neither owns nor leases, as applicable? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.4.1.4</p>	<p>Does the organization review all alternate facility leases and MOAs/MOUs annually? [CGC 1 Annex G, Page G-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.5</p>	<p>Does the organization have an all-hazards risk assessment that includes identification of all hazards that may affect each facility, for all continuity facilities? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.6</p>	<p>Does the organization risk assessment include a vulnerability assessment that determines the effects of all hazards on each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.7</p>	<p>Does the organization risk assessment include a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.8</p>	<p>Does the organization risk assessment include a formal analysis by management of acceptable risk for each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.9</p>	<p>Does the organization reevaluate its alternate facilities, to include virtual office options including telework, for suitability and functionality, at least annually and whenever the organization's continuity plans are reviewed and updated? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

1.4.1.10	Does the organization identify alternate facilities and provide the necessary data, as identified in the CGC 1, on all continuity facilities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.4.2	<i>Equip all organization's alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, enduring operations under any circumstances.</i>			
Characteristics				
1.4.2.1*	Do the organization's alternate facilities include considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resume?. [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.2*	Do the organization's alternate facilities, to include virtual office options including telework, include reliable logistical support, services, and infrastructure systems, to include information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out Essential Functions for up to 30 days or until normal business activities can be resumed? [CGC 1 Annex G, Page G-5]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.3*	Do the organization's alternate facilities, to include virtual office options including telework, provide sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the organization's Essential Functions, as appropriate, Emergency Relocation Group (ERG), and support staff? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.4	Does the organization establish procedures for the orientation of continuity personnel on the alternate facilities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.4.2.5	Does the organization establish procedures for conducting operations and administration at all alternate facilities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.6	Does the organization evaluate daily operating facilities for hardness (i.e. identify “hardness”) in accordance with applicable organizational standards? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.7	Do the organization’s alternate facilities, to include virtual office options including telework, replicate essential capabilities by providing systems and configurations that are used in daily activities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.8	Do the organization’s plans and procedures identify the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.9	Do the organization’s alternate facilities, to include virtual office options including telework, have pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.4.3	<i>Provide survivable protection and sustain continued, endurable operations under any circumstances from all organization's alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.</i>			
Characteristics				
1.4.3.1*	Do the organization's alternate facilities maintain emergency/back-up power capability, so that Essential Functions and operations continue in the event the primary source of power is disrupted? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.2	Within the past year, has the organization trained and prepared their personnel for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options, telework, as reflected in the organization's training records? (Training date and those attending the training should be documented) [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.3	Do the organization's alternate facilities define a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that describes procedures for continuity events both with warning and with no warning? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.4	Does the organization continuity plans address housing to support continuity personnel at or near the alternate facility sites? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.5	CONTINUITY COMMUNICATIONS The systems that support full connectivity among the organization’s leadership, internal elements, and other organizations to perform Essential Functions during a continuity event.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.5.1	<i>Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.</i>			
Characteristics				
1.5.1.1*	Does the organization implement minimum communications requirements, as deemed appropriate, for its primary and continuity facilities, which support the continuation of the organization’s Essential Functions? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.1.2*	Does the organization possess, operate, and maintain or have dedicated access to, communications capabilities at both their primary facility and continuity-facility locations, as well as mobile communications capabilities to ensure the continuation of those organization’s functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.1.3	Does the organization possess communications capabilities that support the organization’s senior leadership while they are in transit to alternate facilities? [CGC 1 Annex H, Page H-1, Bullet #3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.5.1.4	Does the organization have a signed agreement between organizations sharing a continuity facility, which ensures that each one has adequate access to communications resources? [CGC 1 Annex H, Page H-1, Bullet #6]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.5.2	<i>Verify that organization communications systems meet all the organization's needs, including those mandated by applicable directives and regulations, and train organization's personnel on and test all continuity communications systems that support full connectivity, under all conditions.</i>			
Characteristics				
1.5.2.1	Does the organization maintain and have readily available a communications system for a period of sustained usage of no less than 30 days, or until normal operations can be reestablished? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.2	Does the organization train continuity personnel, as appropriate, in the use of the communications capabilities and information technology (IT) systems to be used during a continuity event, as reflected in the organization's training records? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.3	Does the organization satisfy the requirement to provide assured and priority access to communications resources, as applicable? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.4	Does the organization maintain fully capable continuity communications that could support the organization's needs during all hazards, to include a pandemic and other related emergencies and giving full consideration to supporting social distancing operations including telework and other virtual offices? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.6 VITAL RECORDS MANAGEMENT The identification, protection, and availability of information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.6.1	<i>Identify all vital records needed to continue Essential Functions and to resume normal operations throughout all phases of a continuity event.</i>			
Characteristics				
1.6.1.1*	Does the vital records program identify and protect those records that specify how the organization will immediately operate and continue to operate during a continuity situation? [CGC 1 Annex I, Page I-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.2*	Does the vital records program identify those records needed to protect the legal and financial rights of the organization and citizens? [CGC 1 Annex I]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.3	Does the organization incorporate its vital records program into the overall continuity program, plans, and procedures? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.4	Does the organization’s vital records program include appropriate policies, authorities, procedures and the written designation of a vital-records manager? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.6.1.5	Does the organization maintain a complete inventory of vital records along with locations of and instructions on accessing those records? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.6.2	<i>Maintain access to all vital records needed to continue Essential Functions and to resume normal operations throughout all phases of a continuity situation.</i>			
Characteristics				
1.6.2.1*	Are the vital records, at a minimum, annually reviewed, rotated, or cycled so that the latest version will be available? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.2	Is the organization inventory of vital records maintained at an alternate site? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.3	Does the organization identify the risks involved if the vital records are retained in current locations and media and the difficulty of reconstituting them if they are destroyed? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.4	Does the organization ensure appropriate protections of vital records including the dispersing of those records to other locations? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.6.3	<i>Create and maintain a vital records plan packet for the organization that includes all applicable materials needed during continuity operations.</i>			
Characteristics				
1.6.3.1	Has the organization developed and maintained a vital records plan packet or collection that includes a hard copy or electronic list of key organizational personnel and continuity personnel with up-to-date telephone numbers? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.2	Has the organization developed and maintained a vital records plan packet or collection that contains an inventory with precise locations of vital records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.3	Has the organization developed and maintained a vital records plan packet or collection that contains the necessary keys or access codes, if required, for operations? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.4	Has the organization developed and maintained a vital records plan packet or collection that list alternate operating facility locations? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.5	Has the organization developed and maintained a vital records plan packet or collection that has a listing of the access requirements and sources of equipment necessary to access the records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.6.3.6</p>	<p>Has the organization developed and maintained a vital records plan packet or collection that list records recovery experts or vendors? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.6.3.7</p>	<p>Has the organization developed and maintained a vital records plan packet or collection that includes a copy of the organization's continuity plans? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.6.3.8</p>	<p>Has the organization reviewed its vital records plan packet or collection within the past year with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current and with a copy of the review maintained at the organization's alternate facility? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.6.4	<i>Review, train, and test the organization's vital records program and capabilities, with all training and testing sessions recorded within the organization records.</i>			
Characteristics				
1.6.4.1*	Does the organization annually review the vital records program to address new security issues, identify problem areas, update information, and incorporate any additional vital records generated by new organizational programs or functions or by organizational changes to existing programs or functions? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.4.2	Does the organization conduct annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data, if applicable) needed to support Essential Functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital-records program and its relationship to their vital-records and business needs, as reflected in the organization's training records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.4.3	Does the organization annually test its capabilities for protecting unclassified and classified (if applicable) vital records, and for providing access to them from the alternate facility, as reflected in the organization's testing records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.7 HUMAN CAPITAL	Policies, plans, and procedures that address human capital needs during a continuity event, such as guidance on: pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.7.1	Identify continuity leadership and staff and establish the organization's human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.			
Characteristics				
1.7.1.1*	Did the organization head or designee identify and designate those positions and personnel he or she judges to be critical to the organization's operations in any given emergency situation as members of the Emergency Relocation Group (ERG)? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Comments:			
1.7.1.2*	Do the organization's ERG members possess the skill sets necessary to perform Essential Functions and supporting tasks? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Comments:			
1.7.1.3	Does the organization identify and document its continuity personnel? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Comments:			
1.7.1.4	Does the organization officially inform all continuity personnel of their roles or designations by providing written documentation to ensure that continuity personnel know and accept their roles and responsibilities? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Comments:			

1.7.1.5	Has the organization established procedures for contacting and accounting for employees in the event of an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.6	Has the organization identified a human capital liaison from the organization's human resources staff to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization's emergency plans? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.7	Do the organization's continuity programs, plans, or procedures include or reference organizational-specific guidance and direction for continuity personnel on human-capital issues? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.7.2	<i>Communicate and train organization's personnel on applicable human capital procedures and considerations related to continuity.</i>			
Characteristics				
1.7.2.1	Has the organization developed procedures to communicate how and the extent to which employees are expected to remain in contact with the organization during any closure situation? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.2	Do the organization's continuity personnel annually participate in their organization's continuity test, training, and exercise (TT&E) program, as reflected in the organization's training records? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.3	Does the organization provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.4	Does the organization make staff aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help the organization continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.7.3	<i>Develop and integrate human capital strategies for all the organization's personnel during a continuity activation.</i>			
Characteristics				
1.7.3.1	Has the organization developed a process to communicate instructions with continuity personnel before, during, and after a continuity event? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.2	Has the organization developed a process to communicate the organization's operating status with all staff? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.3	Has the organization integrated human capital procedures for its facility and geographic region into its continuity plan, as appropriate? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.4	Has the organization developed a process to communicate their human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities) to managers in an effort to help organizations continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.8 TEST, TRAINING, AND EXERCISE PROGRAM Identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of the organization’s Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.8.1	<i>Create, execute, and document an effective organization-wide continuity <u>testing</u> program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.1.1*	Has the organization developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of Essential Functions? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.2*	Does the organization conduct annual testing of alert, notification, and activation procedures for all continuity personnel? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.3*	Does the organization conduct annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.1.4*</p>	<p>Does the organization test and validate equipment to ensure the internal and external interoperability and viability of communications systems, through quarterly testing of the continuity communications capabilities outlined in CGC 1 Annex H (e.g., nonsecure and secure, if applicable, voice and data communications)? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.1.5*</p>	<p>Does the organization annually test the capabilities required to perform the organization’s Essential Functions, as identified in the Business Process Analysis (BPA)? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.1.6</p>	<p>Does the organization conduct annual testing of plans for recovering vital records (both unclassified and classified, if applicable), critical information systems, services, and data? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.1.7</p>	<p>Does the organization conduct annual testing and exercising of required physical security capabilities at its alternate facilities? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.1.8</p>	<p>Does the organization formally document and report all conducted tests and their results, as applicable? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.1.9</p>	<p>Does the organization conduct annual testing of internal and external interdependencies as identified in the organization’s continuity plan, with respect to performance of the organization’s and other organizations’ Essential Functions? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.8.2	<i>Create, execute, and document an effective organization-wide continuity <u>training</u> program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.2.1*	Does the organization conduct annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations? (Training date and those participating in the training should be documented in writing for all continuity training activities) [CGC1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.2	Does the organization conduct and document annual continuity awareness briefings (or other means of orientation) for the entire workforce? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.3	Does the organization conduct and document annual training for the organization's leadership on that organization's Essential Functions, including training on their continuity responsibilities? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.4	Does the organization conduct and document personnel briefings on organizational continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.5	Does the organization conduct annual and document training for all reconstitution plans and procedures to resume normal organizational operations from the original or replacement primary operating facility? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.8.2.6	Does the organization document all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.8.3	<i>Create, execute, and document an effective organization-wide exercise program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.3.1	Does the organization's exercise program align with the DHS-mandated National Exercise Program (NEP), as appropriate? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.2	Does the organization's TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures while demonstrating the organization's capability to continue its Essential Functions? (All continuity exercise dates and those participating in the exercise should be documented in writing) [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.3	Does the organization conduct an annual exercise that incorporates the deliberate and preplanned movement of continuity personnel to an alternative facility or location? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.4	Does the organization TT&E program provide an opportunity to demonstrate its intra- and inter-organizational continuity communications capabilities? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.3.5</p>	<p>Does the organization’s TT&E program provide an opportunity to demonstrate that backup data and records required for supporting Essential Functions at alternate facilities or locations are sufficient, complete, and current? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.6</p>	<p>Does the organization’s TT&E program provide an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.7</p>	<p>Does the organization’s TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with the organization’s devolution procedures? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.8</p>	<p>Does the organization conduct a comprehensive debriefing after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization’s continuity plan? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

Attribute				
1.8.4	Maintain an organizational Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.			
Characteristics				
1.8.4.1	Has the organization developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.2	Does the organization incorporate evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.3	Does the organization's continuity personnel conduct and document annual assessments of their continuity TT&E programs and continuity plans and programs? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.4	Does the organization's continuity personnel report the findings of all annual assessments, as deemed appropriate? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.5	Does the organization's CAP identify continuity deficiencies and other areas requiring improvement? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.4.6</p>	<p>Does the organization’s CAP provide responsibilities and a timeline for corrective action? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.7</p>	<p>Does the organization’s CAP identify programs and other continuity funding requirements for submission to the organization’s leadership? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.8</p>	<p>Does the organization’s CAP identify and incorporate efficient acquisition processes, and where appropriate, collect all inter-organization requirements into one action? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.9</p>	<p>Does the organization’s CAP identify continuity personnel requirements, the organization’s leadership, and their supporting Human Resource Offices? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.9	DEVOLUTION OF CONTROL AND DIRECTION The transfer of functions and responsibilities from the primary staff to other offices/locations and staff.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.9.1	<i>Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.</i>			
Characteristics				
1.9.1.1*	Does the organization's devolution plan include the elements of a viable continuity capability: program plans and procedures; budgeting and acquisitions; Essential Functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.1.2*	Does the organization's devolution plan identify prioritized Essential Functions and define the tasks that support those Essential Functions? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.1.3*	Does the organization's devolution plan maintain a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform Essential Functions and activities when the devolution option of the continuity plan is activated? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.9.1.4</p>	<p>Does the organization’s devolution plan identify what would likely activate or “trigger” the devolution option and specify how and when direction and control of the organization’s operations will be transferred to and from the devolution site? [CGC 1 Annex L, Page L-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.9.1.5</p>	<p>Does the organization’s devolution plan establish and maintain a capability to restore or reconstitute the organization authorities to their pre-event status upon termination of devolution? [CGC 1 Annex L, Page L-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.9.2	<i>Develop a devolution plan or procedures that address the resource and training considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.</i>			
Characteristics				
1.9.2.1	Does the organization determine the necessary resources to facilitate the immediate and seamless transfer of Essential Functions to the devolution site? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.2	Does the organization list or reference the necessary resources (i.e., equipment and materials) to facilitate the performance of Essential Functions at the devolution site within the devolution section of its continuity plan? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.3	Does the organization establish and maintain reliable processes and procedures for acquiring the resources necessary to continue Essential Functions and to sustain those operations for extended periods? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.4	Does the organization conduct annual training on their organization's devolution option for continuity, addressing how the organization will identify and conduct its Essential Functions during an increased threat situation or in the aftermath of a catastrophic emergency and document the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.5	Does the organization's corrective action program (CAP) support the organization's devolution program? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.10	RECONSTITUTION OPERATIONS Reconstitution planning is the process by which the organization’s personnel resume normal operations from the original or a replacement primary operating facility.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.10.1	<i>Identify and outline a reconstitution plan and procedures so that the organization is fully capable of accomplishing all Essential Functions and normal operations at the new or restored facility once the organization’s heads or their successors determined it is okay to return from all alternate facilities.</i>			
Characteristics				
1.10.1.1*	Does the organization provide an executable plan for recovering from the effects of an emergency and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption has passed? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.2	Do the organization’s plans or procedures include redeployment plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.3	Does the organization coordinate and preplan options for the organization’s reconstitution regardless of the level of disruption that originally prompted the organization to implement its continuity plan? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.10.1.4	Does the organization’s reconstitution plan include moving operations from the continuity or devolution locations to either the original operating facility or new operating facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.5	Has the organization outlined or referred to the necessary procedures, whether under a standard continuity scenario or a devolution scenario, for conducting a smooth transition from the relocation sites to a new facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.6	Has the organization developed a plan or procedures to inform all personnel that the actual emergency or threat of an emergency no longer exists? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.7	Has the organization developed a plan or procedures to instruct personnel on how to resume normal operations? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.8	Has the organization developed a plan or procedures to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.9	Has the organization developed a plan or procedures to verify that all systems, communications, and other required capabilities are available and operational and that the organization is fully capable of accomplishing all Essential Functions and operations at the new or restored facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.10.1.10</p>	<p>Has the organization developed a plan or procedures to report the status of the relocation to the new or restored facility as deemed appropriate? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.11</p>	<p>Has the organization developed a plan or procedures to identify any records affected by the incident? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.12</p>	<p>Has the organization developed a plan or procedures to work with its records office (or similar function in the organization) to effectively transition or recover vital records and databases, as well as other records that have not been designated as vital records, as part of the overall reconstitution effort? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.10.2	<i>Develop plans and procedures to identify areas for improvement and remedy these items during the organization's reconstitution activities to improve the organization's capability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.10.2.1	Has the organization developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.2	Has the organization developed a plan or procedures to identify areas for improvement from the after-action review? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.3	Has the organization developed a plan or procedures to document findings in the organization's CAP? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.4	Has the organization developed a plan for remedial action as soon as possible after the reconstitution? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.1 PROGRAM PLANS AND PROCEDURES	Continuity planning is an effort to document the existence of, and seek the capability to continue organization's Essential Functions during a wide range of potential emergencies.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.1.1	<i>Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's Essential Functions under all circumstances.</i>			
Characteristics				
2.1.1.1*	Does the organization have a continuity plan and procedures approved by the Organization Head or designee, such as the Continuity Coordinator or Continuity Manager? [CGC 1, Page 13]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.2*	Does the organization's continuity program address the key elements of continuity: Essential Functions; orders of succession; delegations of authority; alternate facilities; interoperable communications; vital records; human capital; tests, training, and exercises (TT&E); devolution; and reconstitution? [CGC 1 Annex A, Page A-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.3	Do the organization's continuity plans and procedures establish internal procedures for executing change to the readiness posture as deemed appropriate? [CGC1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.1.1.4	Do the organization’s continuity plans and procedures provide a process for reporting continuity readiness posture and activation status in accordance with guidance provided in CGC 1? [CGC 1 Annex A, Page A-3,]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.5	Does the organization’s plans or procedures establish and maintain point-of-contact (POC) rosters of trained continuity personnel who are fully equipped and have the authority to perform Essential Functions; rosters include at a minimum names and home, work, and cellular telephone numbers? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.6	Do the organization’s plans or procedures include guidance for communicating and coordinating activities with the supporting and supported organizations, customers, and stakeholders before, during, and after a continuity event? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.7	Do the organization’s plans or procedures provide guidance to all staff in developing Family Support Plans which will increase personal and family preparedness throughout the organization and support employee availability during a continuity event? [CGC 1 Annex A, Page A-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.1.3.	<i>Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue the organization's Essential Functions during a wide range of potential emergencies and under all circumstances.</i>			
Characteristics				
2.1.3.1*	Does the organization provide a process or methodology for attaining operational capability at the continuity sites(s) with minimal disruption to operations, within 12 hours of plan activation? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.2*	Do the organization's activation and relocation plans include alert and notification procedures for all continuity personnel throughout the phases of a continuity event and provide a process for reporting continuity personnel readiness and activation status? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.3	Does the organization include procedures for activation and relocation, which consist of: guidance for continuity personnel, in its continuity plan or within a separate implementation plan, which include instructions on moving to an alternate facility and on moving vital records (those that have not been pre-positioned) from the primary to the alternate facility? [CGC 1 Annex A, Page A-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.4	Do the organization's activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation due to with and without warning events during duty hours and non-duty hours for continuity plan activation? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.1.3.5	Do the organization’s activation and relocation plans include procedures for the notification of alternate facilities and on-site support teams? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.6	Do the organization’s activation and relocation plans include procedures for notifying other POCs, adjacent organizations, customers, stakeholders, and interdependent agencies of continuity plan activation and status? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.7	Do the organization’s activation and relocation plans identify what drive-away kits should contain and how to maintain those kits? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.8	Do the organization’s activation and relocation plans include instructions on procuring necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.1.4	<i>The organization plans or procedures include instructions for the execution of all Essential Functions at the alternate facility, in accordance with applicable continuity guidance that, when implemented, ensure the capability to continue the organization’s Essential Functions during a wide range of potential emergencies and under all circumstances.</i>			
Characteristics				
2.1.4.1*	Do the organization’s plans or procedures identify the components, processes, and requirements, as determined by the organization, that ensure the continued performance of the organization Essential Functions ? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.2	Do the organization’s plans or procedures include reception in-processing and accounting for continuity personnel? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.3	Do the organization’s plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.4	Do the organization’s plans or procedures include identification of replacement personnel and augmentees, as necessary? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.1.4.5</p>	<p>Do the organization’s plans or procedures include provisions and procedures for assisting all the organization’s staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster? [CGC 1 Annex A, Page A-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.1.4.6</p>	<p>Do the organization’s plans or procedures include instructions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed? [CGC 1 Annex A, Page A-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.2 RISK MANAGEMENT Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization’s readiness, and to provide them with options for risk mitigation.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.2.1	<i>The organization uses a risk management process to identify, control, and minimize the impact of uncertain events.</i>			
Characteristics				
2.2.1.1	Has the organization established the scope and structure of the risk-informed decision making process, to include strategic goals, objectives, and constraints? [CGC 1Annex B, Page B-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.2	Has the organization implemented a structured risk assessment process for understanding (1) what can go wrong, (2) what the likelihood is that an undesired event might occur, and (3) what the impact of the undesired event might be? [CGC 1 Annex B, Page B-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.3	Has the organization developed potential mitigation strategies to reduce the risk of an undesired event where the current level of risk is unacceptable? [CGC 1 Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.4	Has the organization evaluated the potential mitigation strategies and selected the best possible strategy for implementation? [CGC 1Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.2.1.5	The organization has implemented all selected mitigation strategies and is monitoring the effectiveness of the actions taken to manage risks through established metrics? [CGC 1 Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.3 BUDGETING AND ACQUISITION OF RESOURCES The budgeting and planning process can help the organization’s leaders provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.3.1	<i>Through the budgeting process, an organization’s leaders and staff will ensure critical continuity resources are available to continue performing the organization’s Essential Functions before, during, and after a continuity event.</i>			
Characteristics				
2.3.1.1*	Does the organization identify and provide continuity funding and specific budgetary guidance and requirements for all levels of their organizations, including subordinate components and regional-and field-level offices? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.2	Does the organization consider the budgetary guideline in the CGC 1 or appropriate continuity guidance for a viable continuity of operations capability? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.3	Does the organization reference pre-established procurement mechanisms when submitting funding request? [CGC 1, Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.3.1.4	Does the organization use a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.5	Does the organization integrate budgets with a multiyear strategy and program management plan, and link the budgets directly to objectives and metrics set forth in that plan? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.6	Does the organization budget for continuity capabilities in accordance with NSPD-51/HSPD-20, National Communications System Directive (NCSD) 3-10 (continuity communications), as applicable, and CGC 1? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.3.2	<i>Through the acquisition process, an organization's leaders and staff will ensure critical continuity resources are available to continue performing the organization's Essential Functions before, during, and after a continuity event.</i>			
Characteristics				
2.3.2.1	Does the organization provide for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

APPENDIX A: OPERATIONAL PHASES AND IMPLEMENTATION (CMF 2.4)

This section of the Continuity Assistance Tool is to be used during or immediately following an exercise or actual event. While some of the questions are repetitive of those in previous sections, this appendix is intended to assist organizations in identifying how well they implemented their continuity plan and program during a continuity exercise or actual event.

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION The organization must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on the organization’s readiness posture. The organization should integrate implementation procedures and criteria into their continuity plans. The organization’s continuity plan must address the four phases of: (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the organization’s Essential Functions before, during, and after an emergency or disaster and under all conditions		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.4.1	<i>Respond to continuity events through completion of the organization readiness, preparedness, and activation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.1.1*	During the exercise or event, did your organization follow its procedures for the readiness and preparedness phase within its continuity plan or within a separate implementation plan? [CGC1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.1.2*	During the exercise or event, did your organization follow its procedures for the activation and relocation phase within its continuity plan or within a separate implementation plan? [CGC 1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.4.1.3</p>	<p>During the exercise or event, did your organization use its decision matrix for continuity plan activation that addresses with and without warning events, those occurring during duty hours and non-duty hours, in making the decision to activate the organization continuity plan? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.4</p>	<p>During the exercise or event, did your organization notify all employees (continuity essential personnel and non-deployed personnel) of a continuity event? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.5</p>	<p>During the exercise or event, did your organization activate personnel, vital records and databases, and equipment involved with the continuation of Essential Functions with minimal disruption? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.6</p>	<p>During the exercise or event, did your organization account for all personnel? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.7</p>	<p>During the exercise or event, did your organization communicate instructions and operating status with continuity personnel before, during, and after the continuity event? [CGC1 Annex J, Page J-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

2.4.1.8	During the exercise or event, did your organization use its human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities), as needed, to help the organization continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

Attribute				
2.4.2	<i>Respond to continuity events through completion of the organization relocation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.2.1	During the exercise or event, did subordinate organizations notify their organization’s central location upon activation of their continuity plans and of the time of execution or activation of call-down procedures? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.2	During the exercise or event, did your organization notify alternate facilities and on-site support teams of an activation and relocation? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.3	During the exercise or event, did your organization notify other POCs, organizations that your organization interacts with, customers, and stakeholders of the activation of continuity plans and status? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.4	During the exercise or event, did your organization’s personnel follow the continuity plan instructions on moving personnel and vital records to its alternate facilities? [CGC 1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.4.2.5	During the exercise or event, did your organization’s personnel use continuity drive-away kits, as applicable? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.4.3	<i>Respond to and attain operational capability during continuity events through completion of the organization continuity operations plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.3.1*	During the exercise or event, did your organization demonstrate the capability to perform its Essential Functions within 12 hours after an event and under all threat conditions, from its alternate facilities to include virtual office options including telework, including the ability to maintain this capability for up to 30 days after an event or until normal business activities can be resumed? (If your organization has operations that must be continuous and cannot be suspended for any period or for less than 12 hours, they must be identified and conducted) [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.2*	During the exercise or event, did your organization attain operational capability and demonstrate the capability to perform its Essential Functions at its continuity sites with minimal disruption to operations, within 12 hours of activation? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.3*	During the exercise or event, did your organization transition responsibilities from the primary operating facility to the deployed continuity personnel, once they were in place at the continuity facilities? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.4*	During the exercise or event, did your organization station personnel at the designated devolution site, with the appropriate authorities, skills and abilities that performed the organization's Essential Functions and activities when the devolution option of the continuity plan was activated? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.4.3.5*</p>	<p>During the exercise or event, did your organization identify all available leadership at its alternate facilities and conduct the orderly and pre-defined transition of leadership, for the position of the organization’s head as well as for key supporting positions, in accordance with its delegations of authority, as applicable, during an emergency? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.6*</p>	<p>During the exercise or event, did your organization’s alternate facilities provide a sufficient quantity and mode/media of interoperable and available redundant and survivable communication capabilities to enable performance of all Essential Functions? [CGC 1 Annex G, Page G-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.7</p>	<p>During the exercise or event, did your organization procure necessary equipment/supplies, which were not already in place, needed to support and continue Essential Functions and sustain operations? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.8</p>	<p>During the exercise or event, did your organization conduct reception and in-processing of continuity personnel? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.9</p>	<p>During the exercise or event, did your organization provide guidance to non-deployed personnel [CGC 1 Annex N, N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.10</p>	<p>During the exercise or event, did your organization’s continuity personnel understand their roles and responsibilities? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

<p>2.4.3.11</p>	<p>During the exercise or event, did your organization’s alternate facilities, to include virtual office options including telework, provide capabilities to access and use vital records necessary to facilitate the performance of Essential Functions within twelve hours of a continuity activation, to include having access to the appropriate media for supporting information systems and data, internal and external e-mail and e-mail archives and hard copies of vital records? [CGC 1 Annex G, Page G-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.12</p>	<p>During the exercise or event, were vital records available for those operations that must be performed continuously without interruption? [CGC 1 Annex G, Page G-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.13</p>	<p>During the exercise or event, were your organization’s delegations of authority available at continuity locations, to include devolution sites, if applicable? [CGC 1 Annex F, Page F-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.14</p>	<p>During the exercise or event, did your organization identify and alert replacement personnel and augmentees, as necessary? [CGC 1 Annex N, Page N-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.3.15</p>	<p>During the exercise or event, did your organization’s alternate facilities provide sufficient levels of physical security to protect against all threats, as identified in the facility’s risk assessment and physical-security surveys developed by the security office, law enforcement, a qualified contractor, or other organization to include identifying technologies that control site access, conduct site surveillance, and provide early warning of unauthorized intrusion as part of the alternate facility’s physical security program? [CGC 1 Annex G, Page G-5]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

2.4.3.16	During the exercise or event, did your organization’s alternate facilities, to include virtual office options including telework, provide sufficient levels of information security to protect against all threats as identified in the facility’s risk assessment and information security surveys by the organization’s Information Technology office? [CGC 1 Annex G, Page G-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

Attribute				
2.4.4	<i>Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of an organization's reconstitution and corrective action plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.4.1*	During the exercise or event, did your organization verify that all systems, communications, and other required capabilities are available and operational at the new or restored facility and that the organization was fully capable of accomplishing all Essential Functions and operations at the new or restored facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.2	During the exercise or event, did your organization access the status of affected facilities? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.3	During the exercise or event, did your organization consider how much time is needed to repair the affected facility and/or to acquire a new facility? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.4	During the exercise or event, did your organization supervise facility repairs? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.4.4.5	During the exercise or event, did your organization notify decision makers of the status of repairs, including estimates of when the repairs would be completed? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.6	During the exercise or event, did your organization implement a priority-based phased approach to reconstitution? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.7	During the exercise or event, did your organization inform all personnel that the actual emergency or threat of an emergency no longer existed? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.8	During the exercise or event, did your organization instruct personnel on how to resume normal operations? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.9	During the exercise or event, did your organization supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.10	During the exercise or event, did your organization report the status of the relocation to a new or restored facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
2.4.4.11	During the exercise or event, did your organization consider and reconstitute, as appropriate, any records affected by the incident? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

2.4.4.12	During the exercise or event, did your organization work with its records office (or similar function in the organization) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.13	During the exercise or event, did your organization conduct an after-action review upon return to its restored or new primary facility to determine the effectiveness of its continuity of operations plans and procedures? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.14	During the exercise or event, did your organization's after-action review of its continuity of operations plans and procedures identify aspects of the continuity of operations plans and procedures that need correction along with areas for improvement and assign responsibility for making those corrections and improvements? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.15	During the exercise or event, did your organization document the findings in the organization's corrective action plan (CAP)? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.16	During the exercise or event, did your organization develop a remedial action plan as soon as possible after the reconstitution? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

APPENDIX B: REFERENCES**Source Document:**

Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities, (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*.

1 Elements of a Viable Continuity Capability	
1.1 Essential Functions	CGC 1, Annex D
1.2 Orders Of Succession	CGC 1, Annex E
1.3 Delegations Of Authority	CGC 1, Annex F
1.4 Continuity Facilities	CGC 1, Annex G
1.5 Continuity Communications	CGC 1, Annex H
1.6 Vital Records Management	CGC 1, Annex I
1.7 Human Capital	CGC 1, Annex J
1.8 Test, Training, And Exercise (TT&E) Program	CGC 1, Annex K
1.9 Devolution Of Control And Direction	CGC 1, Annex L
1.10 Reconstitution Operations	CGC 1, Annex M
2 Continuity Program Foundation	
2.1 Program Plans And Procedures	CGC 1, Annex A
2.2 Risk Management	CGC 1, Annex B
2.3 Budgeting And Acquisition Of Resources	CGC 1, Annex C
2.4 Continuity Plan Operational Phases And Implementation	CGC 1, Annex N

Point of Contact (POC):

For any questions or additional assistance regarding CGC 1, contact:
 State, Territorial, Tribal, and Local Branch
 Continuity of Operations Division
 FEMA National Continuity Programs Directorate
 FEMA-STTLContinuity@dhs.gov

APPENDIX C: CONTINUITY PRACTITIONER COURSES

Organizations are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II).

Below is the list of required elements needed to achieve the **Professional Continuity Practitioner certification**.

Continuity of Operations Excellence Series Training- Level I

- IS 546 or IS 546.a: COOP Awareness Course;
- IS 547 or IS 547.a: Introduction to COOP;
- IS 242 or equivalent E/L/G course: Effective Communication;
- E/L/G 548 or IS 548: COOP Manager's Train-the-Trainer Course or E/G/L 549: Continuity of Operations (COOP) Program Manager Course or MGT 331 University of Maryland Preparing the States Continuity Courses;
- B/E/L 550 or IS 550: COOP Planner's Train-the-Trainer Workshop;
- IS 100: Introduction to Incidental Command System (ICS); or ICS 100: Introduction to Incident Command System (ICS) or ICS 200: Incident Command System (ICS) for Single Resources and Initial Action Incidents;
- IS 230 or equivalent E/L/G course: Principles of Emergency Management or IS 230.a: Fundamentals of Emergency Management;
- IS 700.a: Introduction to National Incident Management System (NIMS) or IS 700;
- IS 800.b: A National Response Framework (NRF), an Introduction;
- E 136 or IS 139: Exercise Development Course/Exercise Design Course/or COOP Exercise Design/Development Train-the-Trainer Course;
- Complete attendance in continuity exercise Pandemic Influenza (PI) Determined Accord Workshop or IS 520: Introduction to Continuity of Operations Planning for Pandemic Influenzas and IS 522: Pandemic Influenza Exercise Course (both Independent Study courses are required);
- NARA/CoSA Vital Records Training (optional, recommended)

Below is the list of required elements needed to achieve the **Master Continuity Practitioner certification**.

Continuity of Operations Excellence Series Training- Level II

- Applicants must attain a Continuity of Operations Excellence Series – Level 1, Professional Continuity Practitioner;
- IS 130: Exercise Evaluation and Improvement Planning or E 132 (limited to EMI Resident MEPP candidates) or G130: Exercise Evaluation;
- IS 240 or equivalent E/L/G course: Leadership and Influence;
- E/L/G or IS 551: Devolution Planning Workshop;
- E/L 156 or IS 156: Building Design for Homeland Security Train-the-Trainer Course for Continuity of Operations or E/L 155: Building Design for Homeland Security

- E/L 262: Instructional Delivery for Subject Matter Experts or G 265: Instructional Delivery Skills (formerly G 261: Instructional Presentation Skills) or E 605: Instructional Delivery;
- Instruct E/L/G or IS 548 COOP Manager's Train-the-Trainer Course;
- Facilitate E/L 550 or IS 550 COOP Planner's Train-the-Trainer Workshop or E/L/G or IS 551 Devolution Planning Workshop or Determined Accord Pandemic Preparedness Workshop for Continuity Managers;
- Written Comprehensive Exam (150 questions) - Applicants are eligible to take exam once all other Level II requirements have been met. A score of 70% is required for passing. To request a date to take the exam send an email to FEMA-NCP-FEDERAL-CONTINUITY@dhs.gov

APPENDIX D: LIST OF ACRONYMS

BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assistance Tool
CGC 1	Continuity Guidance Circular 1
CMF	Continuity Management Function
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
FEMA	Federal Emergency Management Agency
HR	Human Resources
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N/A	Not Applicable
NCPIP	National Continuity Policy Implementation Plan
NCSD	National Communications System Directive
NEF	National Essential Function
NRF	National Response Framework
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Function
POC	Point of Contact
TSP	Telecommunications Service Priority
TT&E	Test, Training, and Exercise
WPS	Wireless Priority Service