

Continuity of Operations Plan Template and Instructions for Federal Departments and Agencies July 2011

[Department/Agency Name]

[Month Day, Year]

[Department/Agency Name]

[Street Address]

[City, State Zip Code]

[Insert Federal Department/Agency Symbol]

CONTINUITY PLAN TEMPLATE AND INSTRUCTIONS

The purpose of this Template is to provide instructions, guidance, and sample text for the development of continuity plans and programs in accordance with Federal Continuity Directives (FCDs) 1 and 2 for the Federal executive branch. Continuity planning facilitates the performance of executive branch essential functions during all-hazards emergencies or other situations that may disrupt normal operations.

This template follows the traditional functional Emergency Operations Plan format detailed in FEMA's National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans*, dated March 2009. By using this planning template, agencies will address each of the elements and requirements found in FCDs 1 and 2. Use of this template is voluntary, and organizations are encouraged to tailor continuity plan development to meet their own needs and requirements. This template is organized in a flexible format so that organizations may choose to use all portions or only certain sections of the template to build or improve their plan. However, if Federal executive branch organizations choose not to use this template, they must ensure their continuity plans meet the requirements set forth in FCDs 1 and 2.

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

National Continuity Programs
Continuity of Operations Division
Federal Emergency Management Agency
500 C Street, SW, Suite 515
Washington, DC 20472
FEMA-NCP-Federal-Continuity@dhs.gov
(202) 646-3187

Note: This document has been updated to reflect the change from the color-coded Homeland Security Advisory System (HSAS) to the Department of Homeland Security's National Terrorism Advisory System (NTAS) which was implemented in April 2011.

This page is intentionally left blank.

TABLE OF CONTENTS

BASIC PLAN	5
I. Promulgation Statement.....	5
II. Record of Changes.....	6
III. Record of Distribution	6
IV. Purpose, Scope, Situations, and Assumptions	6
A. Purpose.....	6
B. Scope.....	7
C. Situation Overview	7
D. Planning Assumptions	8
E. Objectives	9
F. Security and Privacy Statement	10
V. Concept of Operations	10
A. Phase I: Readiness and Preparedness.....	10
B. Phase II: Activation and Relocation	13
C. Phase III: Continuity Operations	17
D. Phase IV: Reconstitution Operations.....	18
E. Devolution of Control and Direction	21
VI. Organization and Assignment of Responsibilities.....	22
VII. Direction, Control, and Coordination	23
VIII. Disaster Intelligence.....	24
IX. Communications	25
X. Budgeting and Acquisition	25
XI. Plan Development and Maintenance	26
XII. Authorities and References	26
FUNCTIONAL ANNEXES	28
I. Essential Functions	28
A. Identification of Essential Functions	30
B. Identification of Continuity Personnel.....	31
II. Vital Records Management.....	33
III. Continuity Facilities.....	36
IV. Continuity Communications	38

V.	Leadership and Staff	40
A.	Orders of Succession.....	41
B.	Delegations of Authority.....	42
C.	Human Capital	43
VI.	Test, Training, and Exercises Program	45
	HAZARD-SPECIFIC APPENDICES	49
	ANNEX IMPLEMENTING INSTRUCTIONS	49
I.	Annex Implementing Instruction #1: Delegation of Authority.....	51
	ANNEX A. GLOSSARY	A-1
	ANNEX B. AUTHORITIES AND REFERENCES	B-1
	ANNEX C. ACRONYMS.....	C-1

BASIC PLAN

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

I. Promulgation Statement

Promulgation is the process that officially announces/declares a plan. It gives the plan official status and gives both the authority and the responsibility to organizations to perform their tasks. The promulgation statement should briefly outline the organization and content of the continuity of operations plan and describe what it is, who it affects, and the circumstances under which it should be executed. The agency head, or a designee, must approve the continuity of operations plan. The promulgation document enters the plan "in force." Sample text for this section includes:

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

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

This plan has been developed in accordance with guidance in Executive Order (EO) 12656, *Assignment of Emergency Preparedness Responsibilities*; National Security Presidential Directive – 51/Homeland Security Presidential Directive – 20, *National Continuity Policy*; Homeland Security Council, *National Continuity Policy Implementation Plan*; Federal Continuity Directive (FCD) 1, *Federal Executive Branch National Continuity Program and Requirements*, February 2008; **[Organization Name]** Management Directive **[enter Directive number and title]**; and other related Directives and guidance.

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

II. Record of Changes

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

SAMPLE: Document Change Table

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

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

III. Record of Distribution

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

SAMPLE: Document Transmittal Record

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

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

IV. Purpose, Scope, Situations, and Assumptions

A. PURPOSE

The introduction to the continuity of operations plan should explain the importance of continuity of operations planning to the organization and why the organization is developing a continuity of operations plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the

importance of a continuity of operations capability for the organization. Sample text for this section includes:

The **[Organization Name]**'s mission is to **[enter mission statement]**. To accomplish this mission, **[Organization Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the **[Organization Name]** Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on **[Organization Name]** missions, personnel, and facilities.

The overall purpose of continuity of operations planning is to ensure the continuity of the National Essential Functions (NEFs) under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity of operations capabilities and plans that enable agencies to continue their essential functions across a spectrum of emergencies. These conditions, coupled with the potential for terrorist use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential government functions across the Federal Executive Branch.

B. SCOPE

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

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

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

C. SITUATION OVERVIEW

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

According to NSPD 51/HSPD 20, it is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations

and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies.

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

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

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

Further, **[Organization Name]** has evaluated its daily operating facilities in accordance with Interagency Security Commission Standards or applicable organization standards. This evaluation is found at **[insert document name or location]**.

D. PLANNING ASSUMPTIONS

This section should briefly describe the layout of the continuity of operations plan and familiarize the readers with underlying assumptions made during the planning process. Sample text for this section includes:

This Continuity Plan is based on the following assumptions:

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

- **[Organization Name]** regional operations are unaffected and available to support actions directed by the **[title of organization head]** or his successor. However, in the event that ERG deployment is not feasible due to the loss of personnel, the **[Organization Name]** will devolve to **[list devolution office/region]**
- **[Insert additional assumptions here]**

E. OBJECTIVES

All plans and procedures should list the objectives that the plans are designed to meet. Continuity planning objectives are pre-identified in Federal Continuity Directive 1. Sample text for this section includes:

- The continuity planning objectives that all Federal Executive Branch departments and agencies are required to meet are identified in Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.
- The **[Organization Name]** continuity objectives are listed below:

- (1) Ensure that **[Organization Name]** can perform its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), if applicable, under all conditions
- (2) Reduce the loss of life and minimize property damage and loss
- (3) Execute a successful order of succession with accompanying authorities in the event a disruption renders **[Organization Name]** leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office
- (4) Reduce or mitigate disruptions to operations
- (5) Ensure that **[Organization Name]** has facilities where it can continue to perform its MEFs and PMEFS, as appropriate, during a continuity event
- (6) Protect essential facilities, equipment, records, and other assets, in the event of a disruption
- (7) Achieve **[Organization Name]**'s timely and orderly recovery and reconstitution from an emergency
- (8) Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program and operational capability

F. SECURITY AND PRIVACY STATEMENT

This section details the classification of the Continuity Plan. At a minimum, agencies should classify their plan as “For Official Use Only,” as continuity plans and procedures are sensitive, organization-specific documents. Further, if your continuity plan includes a roster of continuity personnel that includes personal information, such as telephone numbers, that information is protected under the Privacy Act of 1974. Organizations should consult with their Office of Security, or similar office, to ensure their continuity plans and procedures are properly classified and marked. This section should also contain dissemination instructions, including to whom and via what means the agency will disseminate the plan. Sample text for this section includes:

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

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

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

V. Concept of Operations

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

A. PHASE I: READINESS AND PREPAREDNESS

Readiness is the ability of an organization to respond to a continuity event. This phase includes all agency continuity readiness and preparedness activities. Organizations should

only include those readiness and preparedness activities and systems that are applicable to their plan. Sample text for this section includes:

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

- Organization readiness and preparedness
- Staff readiness and preparedness

Organization Readiness and Preparedness

[Organization Name] preparedness incorporates several key components. Two major components of readiness are the Continuity of Government Conditions (COGCON), for organizations in the National Capital Region, and the DHS National Terrorism Advisory System NTAS). **[Organization Name]** uses other warning and threat systems, which include **[list threat and warning systems here]**.

COGCON Procedures

The **[Organization Name]** has established internal plans and procedures for executing changes to the COGCON level, if applicable. In addition to the items set forth in Annex M and N of FCD 1, **[Organization Name]** has identified the following additional activities to undertake at each COGCON level, if applicable.

COGCON Level	Activity	Frequency
Level 4	• [Insert additional agency-specific Level 4 activities here]	[Insert frequency]
Level 3	• [Insert additional agency-specific Level 3 activities here]	[Insert frequency]
Level 2	• [Insert additional agency-specific Level 2 activities here]	[Insert frequency]
Level 1	• [Insert additional agency-specific Level 1 activities here]	[Insert frequency]

NTAS Procedures

Further, **[Organization Name]** has established internal plans and procedures for executing changes based on the NTAS alert regarding *imminent threat* or *elevated threat*.

[Organization Name] has identified the following activities to undertake for each NTAS threat level.

National Terrorist Advisory System Alerts		
Threat Alert	Threat Condition Criteria	Organization Potential Response
Imminent Threat Alert	Warns of credible, specific, and impending terrorist threat against the United States.	<ul style="list-style-type: none"> • Activate the [organization name] COOP Plan • Alert [organization name] Devolution Emergency Response Group
Elevated Threat Alert	Warns of credible non-specific terrorist threat against the United States.	<ul style="list-style-type: none"> • The [organization name] reviews COOP Plan and devolution plans and procedures • The [organization name] places COOP Team and Devolution Emergency Response Group on alert

Other Warning and Threat System Procedures

[Insert any additional organization readiness and preparedness measures tied to other warning and threat systems here].

Staff Readiness and Preparedness

[Organization Name] personnel must also prepare for a continuity event. **[Organization Name]** personnel should plan in advance what to do in an emergency and should develop a Family Support Plan to increase personal and family preparedness. To develop your Family Support Plan, use the templates available at www.ready.gov. This site includes a “Get Ready Now” pamphlet, which explains the importance of planning and provides a template that you and your family can use to develop your specific plan. If you need assistance in creating your family support plan, please contact **[insert office, position title, and contact information]**.

[Organization Name] continuity personnel have the responsibility to create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility or pre-storing the kits at the continuity site. **[Organization Name]** has identified what these kits should contain in the following table on **[insert page number here]**. In order to maintain currency of drive-away kits, **[Organization Name]** has established procedures for updating the kits. **[Insert procedures here, such as having continuity personnel bring kits on annual exercises, distributing quarterly update materials, or establishing an acquisition program to regularly replace agency-supplied emergency items].**

SAMPLE: Drive Away Kit

The following table shows possible items to recommend for continuity drive-away kits.

Drive Away Kit	
<ul style="list-style-type: none">• Identification and charge cards<ul style="list-style-type: none">○ Government identification card○ Drivers license○ Government travel card○ Health insurance card○ Personal charge card• Communication equipment<ul style="list-style-type: none">○ Pager/BlackBerry○ Government cell phone○ Personal cell phone○ Government Emergency Telephone Service card• Hand-carried vital records• Directions to continuity facility• Maps of surrounding area• Business and leisure clothing• Continuity plan• Flashlight	<ul style="list-style-type: none">• Business and personal contact numbers<ul style="list-style-type: none">○ Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)• Toiletries• Chargers/Extra Batteries for phones, GPS, and laptop• Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)• Medical needs<ul style="list-style-type: none">○ Insurance information○ List of allergies/blood type○ Hearing aids and extra batteries○ Glasses and contact lenses○ Extra pair of eyeglasses/contact lenses○ Prescription drugs (30-day supply)○ Over-the-counter medications, dietary supplements• [Insert additional recommended items]

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

B. PHASE II: ACTIVATION AND RELOCATION

This section should explain continuity of operations plan activation procedures and relocation procedures from the primary facility to the continuity facility. The plan must provide a process or methodology for attaining operational capability at the continuity site(s) with minimal disruption to operations within 12 hours of plan activation. This section should also address procedures and guidance for non-relocating personnel. Sample text for this section includes:

To ensure the ability to attain operational capability at continuity sites and with minimal disruption to operations, **[Organization Name]** has developed detailed activation and relocation plans, which are captured in the following sections.

Decision Process Matrix

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

- (1) The President may initiate Federal Executive Branch continuity activation

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

Continuity Plan activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours. Continuity Plan activation is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate. The decision to activate the **[Organization Name]** Continuity Plan and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity, that may occur with or without warning. Decision-makers may use the below decision matrix to assist in the decision to activate the Continuity Plan.

SAMPLE: Decision Matrix

Decision Matrix for Continuity Plan Implementation		
	Duty Hours	Non-Duty Hours
Event With Warning	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area? • [Insert additional points here] 	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day? • [Insert additional points here]
Event Without Warning	<ul style="list-style-type: none"> • Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders? • How soon must the organization be operational? • [Insert additional points here] 	<ul style="list-style-type: none"> • Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational? • [Insert additional points here]

As the decision authority, the **[Organization Head]** will be kept informed of the threat environment using all available means, including official government intelligence reports, national/local reporting channels, and news media. The **[Organization Head]** will evaluate all available information relating to:

- (1) Direction and guidance from higher authorities
- (2) The health and safety of personnel
- (3) The ability to execute essential functions

- (4) Changes in readiness or advisory levels
- (5) Intelligence reports
- (6) The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment
- (7) The expected duration of the emergency situation
- (8) **[Insert other agency considerations here]**

Alert and Notification Procedures

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

Prior to an event, personnel in **[Organization Name]** must monitor advisory information, including the DHS National Terrorism Advisory System, the Federal Government Response Stages for Pandemic Influenza, intelligence, and **[insert any other applicable systems]**. In the event normal operations are interrupted or if an incident appears imminent, **[Organization Name]** will take the following steps to communicate the organization's operating status with all staff:

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

Upon the decision to activate the continuity plan or to reconstitute following an event, **[Organization Name]** will notify all **[Organization Name]** personnel, as well as affected and interdependent entities with information regarding continuity activation and relocation status, operational and communication status, and the anticipated duration of relocation.

These entities include:

- Continuity facilities and on-site support teams with information regarding continuity activation and relocation status and the anticipated duration of relocation
- FEMA Operations Center (FOC) via the RRS or telephone (540.665.6100 or 800.634.7084) and other applicable operations centers with information regarding continuity activation and relocation status, the **[Organization Name]** alternate location, operational and communication status, and anticipated duration of relocation
- All **[Organization Name]** employees, both continuity personnel and non-deployed personnel with instructions and guidance regarding the continuity activation and relocation
- Organization headquarters, if a subordinate organization
- Subordinate organizations, if an organization headquarters

- **[Insert other points-of-contact, adjacent agencies, customers, stakeholders, and interdependent agencies here]**

Relocation Process

Following activation of the plan and notification of personnel, **[Organization Name]** must move personnel and vital records to a continuity facility. Upon activation, **[Organization Name]** continuity personnel deploy to the assigned continuity facility to perform **[Organization Name]** essential functions and other continuity tasks. A map and directions to the continuity facility is found **[insert location within the plan]**.

Emergency procedures during duty hours with or without a warning are as follows:

- Continuity personnel, including advance team personnel, if applicable, will depart to their designated continuity facility from the primary operating facility or their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc here. Include any provisions made regarding the transport of disabled continuity employees]**
- Individuals who are not continuity personnel present at the primary operating facility or another location at the time of an emergency notification will receive instructions from **[insert authority]**. In most scenarios, staff members will be directed to proceed to their homes or to other **[Organization Name]** facilities to wait for further guidance.
- At the time of notification, information will be provided on routes to use during departure from the primary operating facility, if available, or other appropriate safety precautions

Emergency procedures during non-duty hours with or without a warning are as follows:

- Advance team members, if applicable, will deploy to their assigned continuity facility from his/her current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc]**
- Each continuity member will depart to his/her assigned continuity facility from his/her current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc]**.
- Individuals who are not continuity personnel will remain at his or her residence to wait for further instructions.

Personnel not identified as continuity staff may be required to replace or augment the identified continuity personnel during activation. These activities will be coordinated by **[insert office/title]** with the staff on a case-by-case basis. Individuals who are not identified as continuity personnel will remain available to replace or augment continuity members, as required.

[Organization Name title/authority] will direct **[Organization Name]** personnel who are not designated as continuity personnel to move to **[insert location, such as another facility, duty station, or home]** until further notice.

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

C. PHASE III: CONTINUITY OPERATIONS

The Phase III section should identify initial arrival procedures as well as operational procedures for the continuation of essential functions. Sample text for this section includes:

Upon activation of the Continuity of Operations Plan, **[Organization Name]** will continue to operate at its primary operating facility until ordered to cease operations by **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the continuity facility. **[Organization Name]** must ensure that the continuity plan can become operational within the minimal acceptable period for MEF disruption, but in all cases within 12 hours of plan activation.

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

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

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

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

- Report immediately to **[insert location]** for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as identified in **[insert location]** or as otherwise notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of **[Organization Name]** personnel and resources
- Continue **[Organization Name]** essential functions

- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with the FOC
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information
- **[Insert additional tasks here]**

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

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

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

D. PHASE IV: RECONSTITUTION OPERATIONS

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

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

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

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

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

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

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

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

- The **[Organization Name]** Continuity Coordinator or other authorized individual must notify the FEMA Operations Center (FOC) via telephone (540.665.6100 or 800.634.7084) or RRS, when available, and other applicable operations centers with information regarding continuity activation and relocation status, the **[Organization Name]** alternate location, operational and communication status, and anticipated duration of relocation. **[Organization Name]** shall submit a Continuity Status Reporting Form, only if it contains more information beyond what has been reported, to fema-ncp-coop@dhs.gov, by fax to 940.323.2822, or **[insert contact information for appropriate status reporting procedures here]** using the form and procedures provided by FEMA's National Continuity Programs Directorate or other specified continuity point-of-contact.
- **[Insert office/title]** will develop space allocation and facility requirements
- **[Insert office/title]** will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using **[insert method of communication here]**
- **[Insert office/title]** will coordinate with the General Services Administration (GSA) and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable
- **[Insert office/title]** will develop procedures, as necessary, for restructuring staff

- **[Insert any additional activities associated with planning for reconstitution here]**

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

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

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

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

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

- **[Insert vital records transition and recovery plan here].**

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

[Organization Name] will conduct an After Action Review (AAR) once it is back in the primary operating facility or established in a new primary operating facility. **[Insert office/title]** has the responsibility for initiating and completing the AAR. All offices within **[Organization Name]** will have the opportunity to provide input to the AAR. This AAR will study the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the **[Organization Name]** corrective action program

(CAP), and then develop a remedial action plan as soon as possible after the reconstitution. **[Insert office/title]** has the responsibility for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with **[insert office]** to ensure an effective transition or recovery of vital records and databases and other records that had not been designated as vital records. AAR and CAP documentation are maintained by **[insert office]** and are found at **[insert location]**.

For additional information on reconstitution, see Annex M of FCD 1.

E. DEVOLUTION OF CONTROL AND DIRECTION

Devolution planning supports overall continuity planning and addresses the full spectrum of threats and all-hazards emergency events that may render an organization's leadership or staff unavailable to support, or incapable of supporting, the execution of the organization's essential functions from either its primary location or its continuity locations. For organizations that use a separate devolution plan from the continuity plan, include the baseline information in this section in the organization continuity plan and include a reference to the devolution plan in the appropriate places within this section. Sample text for this section includes:

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

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

- (1) Includes the elements of a viable continuity capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, vital records management, staff, test, training, and exercise (TT&E), and reconstitution. The **[Organization Name]** devolution plan is located **[insert location, insert devolution plan below, or insert the applicable plan appendix for devolution]**.
- (2) Identifies prioritized essential functions, defines tasks that support those essential functions, and determines the necessary resources to facilitate those functions. The list of prioritized essential functions for devolution is found at **[insert location]**.
- (3) Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and who will have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. The devolution personnel roster is found at **[insert location]**.
- (4) Identifies what would likely activate or “trigger” the devolution option and specifies how and when direction and control of **[Organization Name]** operations will be

transferred to and from the devolution site. Devolution activation protocols or “triggers” are found **[insert location or insert below]**.

- (5) Determines and lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site. The list of necessary resources for devolution is found at **[insert location]**.
- (6) Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. The **[insert office/title]** is responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found **[insert location]**.
- (7) Establishes and maintains a capability to restore or reconstitute **[Organization Name]** authorities to their pre-event status upon termination of devolution.

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

For additional information on devolution, see Annex L of FCD 1. FEMA maintains a separate Devolution of Control and Direction template. This template is compliant with FCD 1 and provides additional details on the subject matter. The template is found at: <http://www.fema.gov/government/coop/>.

VI. Organization and Assignment of Responsibilities

This section should include additional delineation of continuity of operations responsibilities of each key staff position. Sample text for this section includes:

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

SAMPLE

The following table shows examples of some continuity of operations responsibilities.

Position	Responsibilities
Director	<ul style="list-style-type: none"> • Provide strategic leadership and overarching policy direction for the continuity program • Implement the Continuity of Operations Plan when necessary, or when directed by higher authority • Update and promulgate orders of succession and delegations of authority • Ensure adequate funding is available for emergency operations • Ensure all organization components participate in continuity exercises • Update continuity of operations plan annually
Communications Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Update telephone rosters monthly • Conduct alert and notification tests
Records Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Review status of vital files, records, and databases
Training Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Develop and lead Continuity of Operations training • Plan Continuity of Operations exercises
Continuity Personnel	<ul style="list-style-type: none"> • Be prepared to deploy and support organization essential functions in the event of a Continuity Plan implementation • Provide current contact information to their manager • Be familiar with continuity planning and know individual roles and responsibilities in the event of continuity of operations plan activation • Participate in continuity training and exercises as directed • Have a telework agreement for this position, if applicable

VII. Direction, Control, and Coordination

This section describes the framework for all direction, control, and coordination activities. This section also provides information on how the Plan fits into similar plans horizontally and how higher-level or subcomponent plans are expected to layer on the Plan vertically. Sample text for this section includes:

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

The contents and procedures laid forth in this Continuity Plan are consistent with the direction found in Federal Continuity Directive 1. As a result, this Plan and its concepts are integrated horizontally with other Federal executive branch organizations. Further, the Plan is reviewed and vetted by **[insert internal organizations, such as Regional components,**

subcomponents, or organization headquarters] to ensure vertical integration within **[Organization Name]**.

VIII. Disaster Intelligence

This section describes the required critical or essential information common to all continuity events identified during the planning process. In general terms, it identifies the type of information needed, where it is expected to come from, who uses the information, how the information is shared, the format for providing the information, and any specific times the information is needed. Sample text for this section includes:

During a continuity event, **[Organization Name]** will require the collection and dissemination of critical information. While specific incidents may cause additional or specialized reporting requirements, the following table lists examples of the information that **[Organization Name]** must collect and report regardless of incident type during a continuity event.

SAMPLE

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

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Personnel Accountability	Account for all ERG and non-ERG employees Account for all contract personnel	Human Capital Division	Report Briefing	Status update hourly following Plan activation	[Organization Head]
Operational Status	Percent of ERG personnel arrived at site Ability to conduct each essential function Status of communications and IT systems	Continuity Manager Divisional representatives	Situation briefings Situation reports	NLT than 6 hours after plan activation, then hourly	[Organization Head]
Hazard Information	Threat details specific to the continuity facility	Response coordination center or emergency operations center	Situation briefings Situation reports	Two times per day at shift change	[All component heads]

IX. Communications

The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section includes:

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

All **[Organization Name]** necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation.

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

X. Budgeting and Acquisition

The budgeting and acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements, which are necessary to the successful implementation and management of an organization's continuity program. In addition, the organization must identify and provide funding and specific budgetary guidance and requirements for all levels of their organization, including subordinate components and regional and field-level offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section includes:

[Organization Name] budgets for and acquires those capabilities that are essential to continuity. A copy of the continuity budget is found **[insert location, office]**. Within this budget, **[Organization Name]** budgets for continuity capabilities in accordance with National Security Presidential Directive (NSPD)-51/Homeland Security Presidential Directive (HSPD)-20 and National Communications System Directive 3-10 or other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, **[Organization Name]** uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. The risk management methodology used is **[insert methodology here]** and a copy of the risk management documents can be found **[insert location, office]**.

[Organization Name] integrates the continuity budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multiyear strategy and program management plan is found **[insert location]**.

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

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

XI. Plan Development and Maintenance

This section describes the process the department or agency uses to maintain a current plan. The section should identify who is responsible for plan currency, how often the agency will review and update the plan, and how coordination will occur. Sample text for this section includes:

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

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

XII. Authorities and References

This section should cite a list of authorities and references that mandate the development of this continuity of operations plan, and provide guidance towards acquiring the requisite information contained in this continuity of operations plan.

Annex Q of the FCD 1 provides a list of authorities and references.

This page is intentionally left blank.

FUNCTIONAL ANNEXES

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

I. Essential Functions

All agencies must identify and prioritize their essential functions, which serve as the foundation for continuity planning. The essential functions section must include a list of the organization's prioritized Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEF), if applicable. The continuity of operations plan must identify the components, processes, and requirements that ensure the continued performance of the agency's MEFs and PMEFS.

Per FCD 2, the steps taken to identify MEFs and PMEFS include:

- 1. Conduct a MEF Business Process Analysis (BPA) to:
 - o Determine the MEFs that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency.*
 - o Identify and map the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of each identified MEF.**
- 2. Identify how each MEF is performed and executed, using a business-process flow map.*
- 3. Identify internal and external interdependencies that are part of and/or influence each MEF business process.*
- 4. Identify those MEFs that provide vital interdependent support to a MEF performed by another agency or by an Emergency Support Function under the National Response Framework.*
- 5. Identify those MEFs that require vital support from another agency to ensure the execution of their mission and identify when and where the particular interdependency is executed within the BPA business-process flow. The organization must include considerations for the identified interdependencies, including when and where each interdependency would be executed.*
- 6. Validate and approve the identified MEFs and BPA analysis by each organization head.*
- 7. Once MEFs have been identified and analyzed using the BPA, the review process for identifying potential PMEFS can begin for those organizations to which applicable.*

8. *Identify potential PMEFs by completing the PMEF Screening Worksheet.*
9. *Prepare and submit, to the IAB, the PMEF Candidate Worksheet and PMEF Narrative Sheet for the identified potential PMEFs.*
10. *Once the IAB approves the organization's PMEF, the organization must complete a Business Impact Analysis (BIA) to assist in conducting the BIAs on each of their PMEFs, identifying threats or hazards and their possible impact on each potential PMEF and their associated NEF.*
11. *Once the BIA is completed the department or agency continuity coordinator reviews and validates the BIA by initializing the appropriate column of the BIA Worksheet.*

Sample text for this section includes:

A. IDENTIFICATION OF ESSENTIAL FUNCTIONS

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

Government Functions

To identify, prioritize, and document essential functions, **[Organization Name]** first identified all government functions and missions and reviewed which functions were directed by applicable laws, presidential directives, executive orders, and other directives. **[Organization Name]** government functions are **[insert list of government functions or location of list]**.

Mission Essential Functions

If your organization has no MEFs, state so in this section and remove the sample text. Sample text for this section includes:

Upon identifying all government functions, **[Organization Name]** identified those functions that are MEFs and PMEFS. Mission Essential Functions are a limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Per FCD 2, **[Organization Name]** completed the following worksheets to identify and analyze MEFs. This documentation also identifies the components, processes, requirements, and interdependencies that ensured the continued performance of **[Organization Name]** MEFs.

- MEF Identification Worksheet #1. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Identification Worksheet #2. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Business Process Analysis (BPA) Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Business Process Elements Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.

[Organization Name] MEFs, as validated and approved by the **[enter organization head title]**, are as follows: **[insert list of MEFs here]**.

Primary Mission Essential Functions

If your organization has no PMEFS, state so in this section and remove the sample text. Sample text for this section includes:

Once MEFs were identified and analyzed, **[Organization Name]** began the planning process for identifying and documenting PMEFS. **[Organization Name]** PMEFS were identified through the analysis of the MEFs, were validated by the National Continuity

Coordinator (NCC), and must be performed in order to support the performance of the NEFs before, during, and in the aftermath of an emergency.

Per FCD 2, **[Organization Name]** completed the following worksheets to identify and analyze PMEFS. This documentation also identifies the components, processes, and requirements that ensured the continued performance of **[Organization Name]** PMEFS.

- Potential PMEFS Screening Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- PMEFS Candidate Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**. This worksheet served as the basis for **[Organization Name]** PMEFS Statements, which embody the specificity of the **[Organization Name]** mission and consists of PMEFS linked to NEF execution. The PMEFS statement includes the organizational action or role required, conditions under which the function would be performed, the scope of operations, and standard of performance.
- Candidate PMEFS Narrative Sheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.

In order for a MEF to be considered a PMEFS, the MEF must:

- Directly support a NEF
- Need to be continued uninterrupted or resumed within 12 hours, regardless of circumstance

[Organization Name] PMEFS, as approved by the NCC or other applicable senior officials for non-Federal and private sector entities, are as follows:

Primary Mission Essential Function	Associated National Essential Function

Upon approval of each PMEFS by the NCC or other applicable senior officials for non-Federal and private sector entities, **[Organization Name]** conducted and documented a Business Impact Analysis (BIA) to determine the level of risk, recovery time, criticality, and required mitigation strategies. This **[Organization Name]** BIA is located **[insert location]** and maintained by **[insert office/title]**.

B. IDENTIFICATION OF CONTINUITY PERSONNEL

Once organization MEFs and PMEFS are identified, the organization must determine the personnel positions that are fully equipped and have the authority to perform these functions. Position titles are preferable as personnel change. However, once these positions are identified, the organization must establish and maintain point-of-contact rosters of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, must include names and home, work, and cellular telephone numbers, as applicable. In addition, organizations should identify replacement personnel and

augmentees, as necessary. Organizations should consider maintaining this roster separate from the Continuity of Operations Plan or as an annex due to the need for constant revision and for privacy concerns. Sample text for this section includes:

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

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

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

SAMPLE

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

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

For additional information on essential functions, see Annex D of FCD 1 or FCD 2. Worksheets presented in this section are found in the annexes of FCD 2. For additional information on continuity personnel rosters, see Annex J of FCD 1.

II. Vital Records Management

The identification, protection, and ready availability of vital records, databases, and hardcopy documents needed to support PMEFs and MEFs under the full spectrum of all-hazards emergencies are critical elements of a successful continuity plan and program. Sample text for this section includes:

“Vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support PMEFs and MEFs during a continuity event. **[Organization Name]** has incorporated its vital records program into the overall continuity program, plans, and procedures.

[Organization Name]’s vital records program incorporates into the overall continuity plan with a clear authority to include:

- Policies
- Authorities
- Procedures
- The written designation of **[Organization Name]** vital records manager

[Organization Name]’s official vital records program:

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

As soon as possible after activation of the Continuity Plan, but in all cases within 12 hours of activation, continuity personnel at the continuity facility for **[Organization Name]** must have access to the appropriate media for accessing vital records, including:

- A local area network
- Electronic versions of vital records
- Supporting information systems and data
- Internal and external e-mail and e-mail archives
- Hard copies of vital records
- **[Insert any other media here]**

Identifying Vital Records

[Organization Name] has identified the following as vital to its operations, and has assigned responsibility for those records to **[insert personnel or office here]**, which includes a combination of continuity personnel, personnel in the chief information officer’s department, and records management personnel.

[Organization Name] maintains a complete inventory of vital records, along with the locations of and instructions on accessing those records. These records are located at **[insert location/ office]**. This inventory will be maintained at a back-up/offsite location

located at **[insert location(s) here]** by **[insert office]** to ensure continuity if the primary site is damaged, destroyed, or unavailable.

[Insert office] developed and maintains a vital records plan packet or collection located at **[insert location/office]**. The packet or collection includes:

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

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

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

Protecting Vital Records

The protection of vital records is essential to ensuring the records are available during a continuity event, thus enabling agencies to conduct MEFs and PMEFs. **[Organization Name]** has conducted a vital records and database risk assessment to:

- Identify the risks involved if vital records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
- Identify offsite storage locations and requirements
- Determine if alternative storage media is available
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available vital records under all conditions

The vital records and database risk assessment was performed by **[insert office]** and is located **[insert location]**.

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

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

Training and Maintenance

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

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

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

SAMPLE

The following table shows examples of vital files, records, and databases.

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

For additional information on vital records management, see Annex I of FCD 1.

III. Continuity Facilities

All organizations must identify and maintain at least one alternate facility, which could include alternate uses 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. This section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Sample text for this section includes:

Continuity Facility Information

[Organization Name] has designated continuity facilities as part of its continuity of operations plan and has prepared ERG personnel for the possibility of unannounced relocation to these sites to continue essential functions. **[Organization Name]** completed and forwarded a Standard Form 336 for each facility to GSA, as applicable. A copy of the form is found **[insert location]**. **[Organization Name]** reevaluates its continuity facilities at least annually and whenever the continuity plans are reviewed and updated.

[Organization Name] **[does/does not]** maintain Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) and reviews the MOA/MOU annually, as applicable.

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

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

- 1) This facility is **[rented/owned]** by **[Organization Name]**.
- 2) **[Important contact information for the site, including security, medical, and on-site personnel]**
- 3) **[Security and access requirements]**
- 4) **[Medical support at or near the site]**
- 5) **[Other amenities available at or near the site, including restaurants, stores, banks, and gas stations]**

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

- (1) Sufficient space and equipment, including computer equipment and software. The continuity facility is able to accommodate **[insert number]** personnel. Facility floor plans, equipment inventory, and **[insert other applicable documents]** are found at **[insert location]**.
- (2) Capability to perform MEFs and PMEFS within 12 hours of plan activation or an event, respectively, for up to 30 days or until normal operations can be resumed.
- (3) Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]** from **[insert office or personnel name]**.
- (4) Consideration for health, safety, security, and emotional well-being of personnel. Considerations available at the alternate site include **[insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security]**.
- (5) Interoperable communications for effective interaction. Additional information on continuity communications is found **[insert location]** in this plan.
- (6) Capabilities to access and use vital records. Additional information on accessing vital records is found **[insert location]** in this plan.
- (7) Systems and configurations that are used in daily activities. IT support at the continuity facility is **[insert access to IT support]**. Details on the systems and configurations are available at **[insert location]** from **[insert office or personnel name]**.
- (8) Emergency/back-up power capability. Details on the power capability are available at **[insert location]** from **[insert office or personnel name]**.

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

Continuity Facility Logistics

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

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

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

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

Continuity Facility Orientation

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

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

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

IV. Continuity Communications

The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section includes:

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

systems provide the ability to communicate within and outside the organization and are found [insert location].

In accordance with the National Communications System’s Directive 3-10, if applicable, **[Organization Name]**:

- 1) Has implemented minimum communications requirements in accordance with NSPD-51/HSPD-20 for its headquarters and its alternate and other continuity facilities, which support the continuation of the organization’s MEFs and PMEFs and support connectivity between and among key government leaders, agencies, critical partners, and public.
- 2) Maintains and has readily available for a period of sustained usage of no less than 30 days, or until normal operations could be reestablished, the required communications capabilities to be used during a continuity event and reflected in training records. Training records are maintained by **[insert office/title]** and are located **[insert location]**.
- 3) Trains continuity personnel in the use of communications capabilities and IT systems to be used during a continuity event and reflected in training records. Training records are maintained by **[insert office/title]** and are located **[insert location]**.

SAMPLE

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

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

All **[Organization Name]** necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation. **[Organization Name]** has planned accordingly for essential functions that require uninterrupted communications and IT support, as detailed in the table below.

Organizations that:	If yes, organization must:
Support a NEF	Possess, operate, and maintain, or have dedicated access communications capabilities, at their headquarters and alternate-facility locations, as well as mobile capabilities as required that ensure the continuation of those organizations' functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters.
Do not support a NEF	Possess, operate, and maintain, or have dedicated access to communications capabilities at their headquarters and alternate-facility locations, as well as mobile capabilities, as required, that ensure the continuation of those organizations' essential functions.
Are designated as Category I or II	Coordinate with the Secretary of Homeland Security and the Secretary of Defense to obtain and operate secure and integrated continuity of government communications.
Share a continuity facility	Have a signed agreement that ensures that each one will have adequate access to communications resources.

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

[Organization Name] satisfies the requirement to provide assured and priority access to communications resources, including **[insert resources, such as Government Emergency Telephone Service (GETS), Wireless Priority Service, and Telecommunications Service Priority]**. The **[Organization Name]** point-of-contact for these services is **[insert office/title]**.

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

V. Leadership and Staff

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

A. ORDERS OF SUCCESSION

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

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

[Organization Name]'s orders of succession are:

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

SAMPLE

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

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

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

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

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

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

For additional information on succession, see Annex E of FCD 1.

B. DELEGATIONS OF AUTHORITY

This section should identify, by position, the legal authority for individuals to make key policy decisions during a continuity situation. An organization delegation of authority should outline explicitly in a statement the authority of an official so designated to exercise agency direction. Sample text for this section includes:

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

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

- Orderly succession of officials to the position of **[Organization Head]** in the case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during an emergency or national security emergency. The delegation of authority for **[Organization Head]** is found in Annex Implementing Instruction #1.
- **[Insert additional delegations of authority here]**

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

- (1) Are included as vital records
- (2) Are written in accordance with applicable laws ensuring that the organization's PMEFs and MEFs are performed
- (3) Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- (4) Delineate the limits of and any exceptions to the authority and accountability for officials

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

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

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

C. HUMAN CAPITAL

This section focuses on the organization continuity personnel and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on three areas: Continuity Personnel, All Staff, and Human Capital Considerations. Sample text for this section includes:

Continuity Personnel

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by **[Organization Name]** to perform assigned response duties. One of these categories is continuity personnel, commonly referred to as Emergency Relocation Group (ERG) members.

In respect to these continuity personnel, **[Organization Name]** has:

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

providing guidance here]. Copies of this guidance is maintained by **[insert office/title]** and found at **[insert location]**

All Staff

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

- **[Organization Name]** employees are expected to remain in contact with **[insert office/title, such as supervisors]** during any closure or relocation situation. **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**
- **[Organization Name]** ensures staff is aware of and familiar with human capital guidance in order to continue essential functions during an emergency. **[Organization Name]** uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing].**

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

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

Human Capital Considerations

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

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

[Organization Name] has developed organization-specific guidance and direction for continuity personnel on human capital issues. This guidance is integrated with human capital procedures for its facility, geographic region, and the Office of Personnel

Management (OPM) or similar organization. This guidance is maintained by **[insert office/title]** and found at **[insert location]**. **[Organization Name]** has issued continuity guidance for human capital on the following issues:

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

Further, **[insert office/title]** communicates 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 continue essential functions during an emergency. The process for communicating this information is as follows: **[Insert communication methods and processes here]**.

For additional information on human capital, see Annex J of FCD 1.

VI. Test, Training, and Exercises Program

All organizations must develop and maintain a continuity Test, Training, and 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 continued performance of MEFs and PMEFS. Sample text for this section includes:

[Organization Name] maintains a robust TT&E program that complies with the DHS-mandated National Exercise Program, as appropriate.

[Organization Name] provides organizational assistance to FEMA in conducting annual full-scale continuity exercises and biennial assessments of the organization's continuity program to support reports submitted to the NCC and the President or other applicable senior officials. Assistance includes **[insert examples, such as participation on a working group and providing controllers and/or evaluators]**. Additional documentation of this assistance is found **[insert location]**.

[Organization Name] performs TT&E events at regular intervals, in accordance with the requirements specified in FCD 1, throughout the year as depicted in the following table.

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

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	✓			
Test alert, notification, and activation procedures for all continuity personnel		✓		
Test primary and backup infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform MEFs			✓	
Test plans for recovering vital records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of MEFs			✓	
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on PMEfs and MEFs			✓	
Train personnel on all reconstitution plans and procedures			✓	
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			✓	
Report findings of all annual assessments as directed to FEMA			✓	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation			✓	
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the vital records program			✓	
Test capabilities for protecting classified and unclassified vital records and for providing access to them from the continuity facility			✓	
Train on an organization's devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability				✓

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

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

SAMPLE: TT&E Documentation

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

Name of Event:	Type and Purpose of Event:	Date:	Confirmation Initials or Signature
Continuity Facility Communications Check	Test and validate equipment to ensure internal and external interoperability and viability of communications systems	August 1, 2008	[insert signature]
Name of Participants	Office	Phone/Email	
Jane Doe	Office of the Director	222-222-2222/ jane.doe@agency.gov	/s/ Jane Doe
John Smith	Human Resources	111-111-1111/ john.smith@agency.gov	/s/ John Smith

[**Organization Name**] has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during continuity TT&E activities, assessments, and emergency operations. The [**Organization Name**] CAP incorporates evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The [**Organization Name**] CAP is maintained by [**insert office/title**] and CAP documentation is found at [**insert location**].

The **[Organization Name]**'s continuity CAP:

- 1) Identifies continuity deficiencies and other areas requiring improvement
- 2) Provides responsibilities and a timeline for corrective action
- 3) Identifies program and other continuity funding requirements for submission to organization leadership and the Office of Management and Budget
- 4) Identifies and incorporates efficient acquisition processes and, where appropriate, collects all interagency requirements into one action
- 5) Identifies continuity personnel requirements for organization leadership and their supporting Human Resource Offices and OPM, where appropriate

SAMPLE: Corrective Action Program

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

Capability	Observation Title	Recommendation	Corrective Action	Capability Element	Primary Responsible Agency	Agency POC	Start Date	End Date
Planning	Organization did not conduct a hotwash following March 08 exercise.	Organization should conduct hotwashes in order to allow participants to provide suggestions on areas of strengths and weaknesses.	Exercise director will plan and execute hotwash at December exercise and incorporate comments into AAR.	Planning	[Organization Name]	Exercise Director, John Doe, (111) 222-3333	Mar. 7, 2008	Dec. 1, 2008

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

HAZARD-SPECIFIC APPENDICES

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

ANNEX IMPLEMENTING INSTRUCTIONS

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

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

Sample operational checklists may include:

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

This page is intentionally left blank.

I. Annex Implementing Instruction #1: Delegation of Authority

[Organization Name]

Delegation Number: **[Insert number]**

Issue Date: **[Insert date]**

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

PURPOSE

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

DELEGATION

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the **[insert title of organization head]**, in case of my absence, inability to perform, or vacancy of the office, and until that condition ceases. In the event that the Office of the **[insert title of organization head]** is vacant as that term is used in the Federal Vacancies Reform Act of 1998, the **[insert title]** shall act until a successor is appointed.

1. [Insert order of succession here]

The individual serving in the #1 position identified above, is hereby designated the "First Assistant" for the purposes of the Federal Vacancies Reform Act of 1998. If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the **[insert title of organization head]**, but may not perform any function or duty required to be performed exclusively by the office holder.

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

AUTHORITIES

The Homeland Security Act of 2002, P.L. 107-296, as amended.

The Federal Vacancies Reform Act of 1998, 5 U.S.C. § 3345, *et seq.*, as amended.

[Insert other applicable authorities here]

OFFICE OF PRIMARY INTEREST

The Office of the **[insert title of organization head]** is the office of primary interest in this delegation.

CANCELLATION

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

[Organization Head signs here]

[Enter Organization Head's name here]

[Enter Organization Head's title here]

[Enter Organization Name here]

[Enter date here]

[General Counsel signs here]

[Enter General Counsel's name here]

[Enter General Counsel's title here]

[Enter Organization Name here]

[Enter date here]

ANNEX A. GLOSSARY

A glossary should contain a list of key words and phrases used throughout the Continuity Plan and within the continuity of operations community. Each key word and phrase should be clearly defined. The following are definitions of key terms used in this FCD.

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

Agencies – Federal departments and agencies means those executive departments enumerated in 5 U.S.C. 101, together with the Department of Homeland Security (DHS), independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the United States Postal Service. The departments, agencies, and independent organizations are referred to in this document as “organizations.”

Agency head – The highest-ranking official of the primary occupant agency, or a successor or designee who has been selected by that official.

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

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

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

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

Catastrophic emergency – Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

Category – This term refers to the categories of agencies listed in Annex A to NSPD-51/HSPD-20.

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

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

Continuity capability – The ability of an organization to continue to perform its essential functions, using continuity of operations and continuity of government programs and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions (NEFs) under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

Continuity coordinators – Representatives of executive branch departments and agencies at the assistant secretary (or equivalent) level.

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

Continuity of Government – A coordinated effort within the Federal Government’s executive branch to ensure that NEFs continue to be performed during a catastrophic emergency.

Continuity of Government Readiness Condition (COGCON) – A system for establishing, measuring, and reporting the readiness of executive branch continuity programs, which is independent of other Federal Government readiness systems.

Continuity of Operations– An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

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

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

Continuity program management cycle – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.

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

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

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

Drive-away kit – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment.

Emergency operating records – Records that support the execution of an agency’s essential functions.

Emergency relocation group (ERG) – Pre-designated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.

ERG member – A person who has been assigned responsibility to report to an alternate facility, as required to perform agency essential functions or other tasks related to continuity operations.

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

Executive departments and agencies – Executive departments enumerated in 5 U.S.C. 101, along with DHS, independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the U.S. Postal Service.

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

Federal Continuity Directive (FCD) – A document developed and promulgated by DHS, in coordination with the Continuity Advisory Group and in consultation with the Continuity Policy Coordination Committee, which directs executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

FEMA Operations Center (FOC) – A continuously operating entity of DHS, which is responsible for monitoring emergency operations and promulgating notification of changes to COGCON status.

Government Functions – Government functions include both the collective functions of the heads of agencies as defined by statute, regulations, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

Homeland Security Exercise and Evaluation Program (HSEEP) – A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The National Exercise Program (NEP) uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Interoperability – “Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and/or among individual electronic-communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

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

Leadership – The senior decisionmakers who have been elected (e.g., the President, State governors) or designated (e.g., Cabinet Secretaries, chief executive officers) to head a branch of Government or other organization.

Memorandum of Agreement/Memorandum of Understanding (MOA/MOU) – Written agreements between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

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

Multiyear strategy and program management plan – A process that ensures the maintenance and continued viability of continuity plans.

National Communications System (NCS) – A system governed by Executive Order 12472 and comprised of the telecommunications assets of 24 Departments and Agencies. DHS serves as the Executive Agent for the NCS, which is responsible for assisting the President, the National Security Council, the Director of OSTP, and the Director of OMB in (1) the exercise of telecommunications functions and their associated responsibilities and (2) the coordination of planning for providing the Federal Government, under all circumstances (including crises and emergencies, attacks, and recovery and reconstitution from those events), with the requisite national security and emergency preparedness communications resources.

National Continuity Policy – It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations

and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.

National Essential Functions (NEFs) – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.

National Exercise Program – The NEP is the Nation’s overarching exercise program formulated by the National Security Council / Homeland Security Council, and executed by the Federal Interagency. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the National Exercise Program.

National Terrorism Advisory System (NTAS) –NTAS communicates information about terrorist threats by providing timely, detailed information to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

Normal Operations – Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include day to day tasks, planning and execution of tasks.

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

Plan – A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

Primary Mission Essential Functions (PMEFs) – Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Primary operating facility – The site of an organization’s normal, day-to-day operations; the location where the employee usually goes to work.

Program – A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.

Readiness Reporting System (RRS) – Department of Homeland Security program to collect and manage continuity capability data and assessments of executive branch departments and agencies, and monitor their status to perform their Priority Mission Essential Functions (PMEFs) in support of the National Essential Functions (NEFs). The RRS will be used to conduct assessments and track capabilities at all times, under all conditions, to include natural disasters, manmade incidents, terrorism, and war.

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

Recovery – The implementation of prioritized actions required to return an organization’s processes and support functions to operational stability following an interruption or disaster.

Rights and interests records – Records that are necessary to protect the legal and financial rights of both the Federal Government and the persons who are affected by its actions.

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

Risk assessment – The identification and assessment of hazards.

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

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

Testing, training, and exercises (TT&E) – Measures to ensure that an agency’s continuity plan is capable of supporting the continued execution of the agency’s essential functions throughout the duration of a continuity situation.

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

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

Vulnerability analysis – A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

ANNEX B. AUTHORITIES AND REFERENCES

The following are the authorities and references for this Federal Continuity Directive.

AUTHORITIES:

- 1) The National Security Act of 1947, dated July 26, 1947, as amended.
- 2) Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.
- 3) Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, dated April 3, 1984, as amended.
- 4) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
- 5) The Homeland Security Act of 2002 (Public Law 107-296), dated November 25, 2002.
- 6) Executive Order 13286, *Establishing the Office of Homeland Security*, dated February 28, 2003.
- 7) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 8) Homeland Security Presidential Directive 7, *Critical Infrastructure Identification*, dated December 17, 2003.
- 9) Homeland Security Presidential Directive 8, *National Preparedness*, dated December 17, 2003.
- 10) National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.
- 11) National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated July 25, 2007.
- 12) National Continuity Policy Implementation Plan, dated August 2007.
- 13) Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.
- 14) Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated February 2008.

REFERENCES:

- 1) Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.
- 2) 36 Code of Federal Regulations, Part 1236, *Management of Vital Records*, revised as of July 1, 2000.

- 3) 41 Code of Federal Regulations 101.20.103-4, *Occupant Emergency Program*, revised as of July 1, 2000.
- 4) Homeland Security Presidential Directive 1, *Organization and Operation of the Homeland Security Council*, dated October 29, 2001.
- 5) NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, dated June 2002.
- 6) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 7) National Incident Management System (NIMS), dated March 1, 2004.
- 8) Homeland Security Presidential Directive 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, dated August 27, 2004.
- 9) National Strategy for Pandemic Influenza, dated November 1, 2005.
- 10) National Infrastructure Protection Plan, dated 2006.
- 11) National Strategy for Pandemic Influenza Implementation Plan, dated May 2006.
- 12) NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, dated December 2006.
- 13) National Exercise Program Implementation Plan, April 2007.
- 14) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.
- 15) FEMA Continuity of Operations Plan Template Instructions.
- 16) FEMA Continuity of Operations Plan Template.
- 17) Comprehensive Preparedness Guide 101, *Producing Emergency Plans*, – Interim, FEMA, dated August 2008.

ANNEX C. ACRONYMS

This list should include acronyms used throughout the Continuity Plan and within the continuity of operations community. The following are acronyms used in this FCD.

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
COGCON	Continuity of Government Conditions
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
GAO	Government Accountability Office
GETS	Government Emergency Telephone Service
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
NCC	National Continuity Coordinator
NEF	National Essential Function
NSPD	National Security Presidential Directive
NTAS	National Terrorism Advisory System
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
RRS	Readiness Reporting System
TT&E	Test, Training, and Exercise