November 15, 2017

CONTINUITY OF OPERATIONS PLAN – LOVING CARE & MORE, Inc.

# PROMULGATION STATEMENT

Loving Care & More’s mission is to provide quality in home care to our clients .

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

Key personnel who may be activated under this plan are collectively known as the **Incident Command Team***.* Upon plan activation, these members **will** deploy to **104 Windriver Rd, Silverton, Idaho** where they will establish an operational capability and perform essential functions within the designated recovery time objective (RTO) and continue until normal operations can be resumed.

This plan is developed in accordance with guidance in the

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

**Mike Hull, Administrator**

**Marcy Hayman, Incident Commander**

# CONFIDENTIALITY STATEMENT

This document along with subsidiary plans and supporting documents, contains confidential information and are for official use only . These documents are to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the standard procedures followed for confidential information at **Loving Care & More** and are not to be released without prior approval of the **Privacy Officer, Marcy Hayman** to the public or other employees who do not have a valid “need to know.”

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# ESSENTIAL FUNCTIONS

## Business Impact Analysis Summary

*The Business Impact Analysis summary will prepare for the importance and vital functions of the business operations at Loving Care & More. Which Include:*

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

## Essential Functions and Resource Summary

*We will look at the following for each of the above noted vital functions.*

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

*Standard Operating Procedures will be followed to maintain each of the Essential Functions described above.*

## Support Functions

*Support functions will be addressed at the Incident command meeting to determine special needs for staff scheduling, delivery of materials, delivery of supplies, special needs for infrastructure, special needs for counseling as well as costs associated with continuity of operations for a 2 week time frame.*

### Mutual Aid

*Memorandum of understandings will exist with Shoshone Medical Center, Loving Care & More DME Services, BENCAR Pharmacy.*

## Expected Costs

*Incident Command will put together with the help of support staff all Expected Costs for the continuity of operations for a two week time frame.*

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

Table 1

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

TABLE 2

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

Table 3

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



This process will be repeated for each essential function.

ESSENTIAL RECORDS AND IT FUNCTIONS

## Identification and Storage

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

*Loving Care & More stores these documents in the S: drive on the Server located in the main Central Storage facility. Dave Ewers of On Call Support Services is the IT Manager in charge of all of Loving Care & Mores servers and networks. Dave can be reached at 509-218-1779.*

**Jeanette Kenser, Admin assistant** maintains a complete inventory of essential records, along with their locations and instructions for access at **104 Windriver Rd, Silverton, Id 83867**

Table 2 Essential Records Database

| **Essential Record, File, or Database** | **Support to Essential Function** | **Form of Record (e.g., hardcopy, electronic)** | **Pre-positioned at Alternate Location** | **Hand Carried to Alternate Location** | **Multiple Storage Location(s) Y/N** | **Maintenance Frequency** |
| --- | --- | --- | --- | --- | --- | --- |
| Mapping Database | Function #1 | Electronic | X |  | Y | Monthly |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

To ensure rapid identification and recovery, essential records will be named and stored according to policies developed by IT. This policy is included in the Essential Records Annex .

## Backup and Protection

*IT location. Manager, Dave Ewers has established a back up protocol to transport back ups off premise to a safe these records will be in the possession of Mike Hull, Administrator.*

Electronic records, and the records inventory, are backed-up using **a separate back up drive found at Reception Computer 1.**  If they are lost, recovery will be conducted by **IT Manager, Dave Ewers.**

## Recovery

*In the event Data records are in need of Recovery, On Call Computer solutions, Dave Ewers can be reached at 509-218-1779.*

HUMAN RESOURCES

## Roles and responsibilities

*Roles and Responsibility for Senior Leadership – includes Mike, Marcy, Lisa and Vicki*

* *Senior leadership – IC Team*
	+ *Procedures and authorities for activation of a continuity event*
	+ *Adjusted responsibilities to manage the limited EFs*
* *Incident Command TEAM personnel*
* *Support Personnel*

### Senior Leadership

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

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

1. The **Administrator** is aware of, or is notified, that a disruption to normal operations is planned, is anticipated, or has occurred.
2. The **Incident Commander** evaluates the situation along with its potential, anticipated, or known effects on agency operations and decides whether to activate the Continuity Plan.
3. The **Incident command Team** initiates the process to inform all employees of the situation and the actions they should take.

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

1. The state governor, county executive or county commissioner, local mayor, city mayor, or city administrator may initiate continuity activation.
2. The **Incident Commander**, or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization.

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

**Decision Process**



### All Personnel

Every member of the organization will train and prepare in advance for a continuity event so they are prepared to act quickly in an emergency. Each individual will also develop a Family Support Plan to increase personal and family preparedness. The [www.ready.gov](http://www.ready.gov) website provides guidance for developing a Family Support Plan and includes a “Get Ready Now” pamphlet that explains the importance of planning, and a template that can be tailored to meet family-specific planning requirements.

#### Personnel Accountability

It is important to account for all personnel during a continuity event. The **Administrator** will account for personnel using **Calling Trees, V-Tect and email**. Accountability information is reported to the **Incident Commander** at **208-661-5748 within 1/2** hour intervals. The process will continue until all personnel have been accounted for.

### Continuity Personnel

The organization has determined the positions necessary to conduct essential functions, and to authorize and approve the work. Key positions include theAdministrator/Safety Officer, Incident Commander/Compliance Officer, Incident Command Team and their successors, and others who are assigned continuity responsibilities. These individuals will report to the alternate location or other assigned location. A copy of the current roster is found at **Reception # 1 & # 2**. The Reception # 1 and # 2 are responsible for maintaining the roster and ensuring personnel are correctly matched to required positions.

Table 3: Continuity Personnel Roster

| **Function** | **Title/ Position** | **Name** | **Telephone Numbers** | **Additional Information** |
| --- | --- | --- | --- | --- |
| **EF #1:** Establish Incident Command Strategy | Administrator | Mike Hull | H: 208-512-3821 | **Mhull@lovingcarehomehealth.com** |
| *Incident Commander* | *Marcy Hayman* | C: 208-661-5748 | *mhayman@lovingcarehomehealth.com* |
| Therapy | LISA DARST | C: (208) 682-3179 | EMAIL: ldarst@lovingcarehomehealth.com |
| *Support Staff* | *Jeanette Kenser**Val Atwell* | *C: (208) 661-7202**C: 208-682-0603* | jkenser@lovingcarehomehealth.com,*vatwell@lovingcarehomehealth.com* |

Table 4: Assignment of Responsibilities

| **Position** | **Responsibilities** |
| --- | --- |
| Admin/Safety Officer | * Provide overall policy direction, guidance, and objectives for continuity planning.
* Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise).
* Ensure adequate funding is available for emergency operations.
* Ensure all organization components participate in TT&E activities.
 |
| Incident Commander | * Provide strategic leadership and overarching policy direction for the continuity program.
* Serve as the organization continuity program point of contact (POC).
* Implement the Continuity Plan when necessary, or when directed by a higher authority.
* Maintain orders of succession and delegations of authority.
* Update Continuity Plan annually.
* Develop and lead continuity training.
* Plan continuity exercises.
* Update telephone rosters monthly.
* Conduct alert and notification tests.
 |
| Support Staff 1 & 2 | * Review status of essential records, files, and databases.
* Provides for proper storage and protection of essential records.
 |
| Support Staff 1 & 2 | * Be prepared to deploy and support organization EFs in the event of Continuity Plan implementation.
* Provide current contact information to manager.
* Be familiar with continuity planning and know individual roles and responsibilities in the event of Continuity Plan activation.
* Participate in continuity training and exercises as directed.
* Have a telework agreement in place, if applicable.
 |
| Therapies | * Appoint a POC for coordination and implementation of the Continuity Plan.
* Keep Continuity Coordinator/Manager informed of any changes in the designation of the office continuity POC.
* Identify EFs to be performed when any element of the organization is relocated as part of the Continuity Plan.
* Identify those functions that can be deferred or temporarily terminated in the event the Continuity Plan is implemented.
* Maintain a current roster of Continuity Team members.
* Maintain current personnel emergency notification, accountability, and relocation rosters.
* Prepare backup copies or updates of essential records.
* Ensure that the time and attendance function is represented on the Continuity Team.
 |

~GO Kits ~

Continuity personnel are responsible for creating and maintaining go kits that are either pre-positioned at the alternate location, or that they will carry with them when they go. The **Incident Commander** will work with staff to ensure currency of the go kits by. A typical go kit should contain those items listed in the table below. ([www.ready.gov](http://www.ready.gov) provides a list of items you can choose from to create a kit that works for your needs).

Table 5: Go Kit Contents

| **Date added** | **Item** |
| --- | --- |
| *At time of mobilization* |  MARS Record for the patientEmergency Plan from their hard copy recordCall lists for Incident Command Staff as well as regularly scheduled staff.  |
|  |  |

## Succession and Delegations of Authority

In the event the **Incident Commander** is rendered incapable or unavailable to fulfill their duties, successors have been identified to ensure there is no lapse in decision-making authority.

*Orders of succession should:*

* *Safety officer, Incident Command Senior Staffer, Support Staff 1 then 2.*

**[**

When the primary holder of one of these positions, or their acting successor, becomes unreachable or incapable of performing their duties, the **Support Staff 1 or 2** will notify the next successor in line and inform other internal and external stakeholders of the substitution.

Successor training will be conducted annually, and the dates and topics will be documented by **Incident Commander** and stored in the training records **located in the conference room at 104 Windriver Rd, Silverton, ID as** essential records.

The organization has informed those officials who might be expected to assume authorities during a continuity situation.

Theorganization has identified the following positions that require delegations of authority:

* **Safety Office**
* **Incident Commander**

## Additional Human Resources Considerations

The organization has developed guidance and direction for personnel regarding human resource issues during a continuity event. The Incident Commander/HR Manager works closely together to resolve human resources issues related to a continuity event, update the Continuity Plan, and communicate with managers regarding human resources needs to help continue EFs throughout an event.

The organization has issued continuity guidance for human resources on the following issues:

* Additional Staffing: (See Volunteer Listing)
* Work Schedules and Leave/Time Off:
* Employee Assistance Program: **(speak to Behavioral Therapist lead)**
* Employees with Disabilities:
* Benefits:
* Premium and Annual Pay Limitations

###

### Personal Recovery Assistance

An event that requires the activation of the Continuity Plan may personally affectpersonnel. Therefore, the **HR department** will create provisions and procedures to assist all personnel, especially those who are disaster victims, or who have special Human Resources concerns following a catastrophic disaster.

### Replacing Staff

It may be necessary to augment or replace personnel during a continuity event. The HR departmentwill be responsible for recruiting, hiring, and on-boarding staff during a continuity event.

# COMMUNICATIONS

## Resilient Systems

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

*Loving care will utilize the Sandata telephony system for broadcasting messages, the V-Text program, email and Social Media messenger as needed in the event of an emergency activation.*

Table 6:

 Communications Systems Tracking Table

| **Communication System** | **Support to Essential Function** | **Current Provider** | **Specification** | **Alternate Provider** | **Special Notes** |
| --- | --- | --- | --- | --- | --- |
| Non-Secure Phones |  |  |  |  |  |
| Secure Phones | X | Verizon |  |  |  |
| Fax Lines |  |  |  |  |  |
| Cellular Phones | X | Verizon |  |  |  |
| Satellite |  |  |  |  |  |
| Pagers |  |  |  |  |  |
| E-mail | X | Frontier |  |  |  |
| Internet Access | X | Frontier |  |  |  |
| Data Lines |  |  |  |  |  |
| Two-way Radios |  |  |  |  |  |
| GETS Cards |  |  |  |  |  |
| **Sandata -Broadcast** | x | Sandata |  |  |  |

## Alert and Notification

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

1. The **Administrator/Safety officer** or designated successor will notify **Incident Commander** of the Continuity Plan activation.
2. **Support Staff 1 & 2** will notify family members, next of kin, and/or emergency contacts of Continuity Plan activation.
3. **Support Staff** will notify external stakeholders of activation.



## Contact Rosters

*Contact Rosters will remain available with Support Staff 1 & 2 for all:*

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

Contact Rosters are maintained by **Incident Commander/Compliance Officer** and stored in the essential records database.

## Tracking the Threat

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

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

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

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

**Safety Officer/Administrator** will evaluate all available information relating to:

* The health and safety of personnel
* The ability to execute EFs
* Changes in threat advisories
* Intelligence reports
* The potential or actual effects on communications systems, information systems, office facilities, and other essential equipment
* The expected duration of the emergency
* ALTERNATE LOCATIONS AND TELEWORK

*Alternate locations will be available through a mobile unit housed at 1214 Burke Rd, Wallace Idaho 83873 and would be relocated to either 1233 East Larch, Osburn Idaho or 214 Cypress Wallace, ID 83873*

## Space and Infrastructure Summary

Mikes Specialty Welding, Inc and On Call Computer Services will be responsible for assisting with infrastructure recoverty and continuity services

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

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

* Space and equipment, including computer equipment and software. The alternate location can accommodate **14** personnel. Facility floor plans, equipment inventory, and **records** are found at **104 Windriver Rd and will be backed up to an off site disk weekly which would be used to recover files in the event our main facility is unaccessible.**
* Capability to perform EFs within the RTO. The facility will remain available until normal operations can be resumed, often within 30 days.
* Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]**.
* Consideration for health, safety, security, and emotional well-being of personnel. Emergency/back-up power capability. Access to Communications, Internet, and Remote Servers

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

* Interoperable communications, and connections, for effective interaction. Additional information on continuity communications is found in the Communications section of this plan.
* Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found in the Essential Records section of this plan.
* Systems and configurations that are used to complete EFs. IT support at the alternate location can be accessed by **contacting Dave Ewers.**  Details on the systems and configurations are available with On Call Computer Services

|  |
| --- |

## Telework

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

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

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

## Activation/Relocation

Upon activation of the Continuity Plan by **Administrator/Safety officer or Incident Commander,**  EFs may relocate to the alternate location(s). Support Staff will notify the point of contact at the alternate location(s) of the activation and need to occupy the space and ensure that the continuity operations can begin within the RTO.

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

* Advance Team and Continuity Team members will deploy to the designated alternate location from the primary facility or their current location.
* Non-continuity personnel will receive instructions from Support Staff 1 and 2. In most situations they will be directed to return home to await further instructions.
* Information will be provided regarding safety precautions and clear routes to use when leaving the primary operating facility.

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

* Advance Team and Continuity Team members will deploy to the designated alternate location from their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees]**. They should arrive by **as fast as they can ENSURE THEIR FAMILIES NEEDS ARE ADEQUATELY MET.**
* Non-continuity personnel will remain at their residence or other designated location, but must be prepared to replace or augment continuity personnel within **1 HOUR** of notification, or as advised. Staff replacements will be coordinated by the **Support Staff 1 & 2.**

Non-continuity personnel may be required to replace or augment continuity personnel during activation and should remain available as instructed.

# RECONSTITUTION

*Loving Care IC Staff and team will identify and outline a plan to return to normal operations once senior management, or their successors, determine the disaster no longer poses a threat. To ensure proper focus on each area of work, separate individuals will staff the Reconstitution Team and Continuity Team.*

## Procedures

Within 2 hours of an emergency relocation, and after receiving approval from the appropriate state and local law enforcement and emergency services the Reconstitution Team will initiate and coordinate operations to salvage, restore, and recover the primary operating facility and resources:

Table 7: Reconstitution Checklist

| **Reconstitution Checklist** |
| --- |
| * Identify the Reconstitution Manager for all phases of the reconstitution process.
 |
| * Reconstitution will commence when the **[Organization Head**] or another authorized person ascertains that the emergency situation has ended and is unlikely to reoccur.
 |
| * Within **[insert number]** hours of the Continuity Plan activation, each **[Organization Name]** subcomponent will designate a reconstitution POC to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution.
 |
| * **[Insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**.
 |
| * **[Organization Name]**, in conjunction with **[insert offices and organizations here]**, will determine how much time is needed to repair the primary operating facility and/or acquire a new facility.
 |
| * Should **[Organization Name]** decide to repair the facility, **[insert office/title]** has the responsibility of supervising the repair process and should notify **[insert office/title]** of the status of repairs, including estimates of when the repairs will be completed.
 |
| * Before relocating to the recovered or replaced primary operating facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability.
 |
| * **[Insert office/title]** will verify that all systems, communications, and other required capabilities are available and operational and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.
 |
| * Upon verification that the required capabilities are available and operational, and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, the **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the primary operating facility.
 |
| * The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; the **[Organization Name]** will develop return plans based on the incident and facility within **[insert number]** hours of plan activation.
 |

Continuity Program Management

# BUDGETING AND ACQUISITION

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

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

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

Within the **[Loving Care and More walls** the organization budgets for resources and capabilities essential to continuity operations. A copy of the continuity budget is found at **the main office or relocation office.**

Risk management methodology is used to identify, prioritize, and justify the reallocation of budgetary resources.

The organizationintegrates the continuity budget with its long-term strategic plan and links the budget directly to objectives and metrics set forth in that plan.

## Cost Prevention, Mitigation, and Reallocation

*The goal here is to:*

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

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

## Emergency Procurement

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

# MULTI-YEAR STRATEGIC PLANNING

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

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

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

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

# TRAINING, TESTING, AND EXERCISING (TT&E)

*Loving Care maintains a Training, testing and exercise schedule that verifies the IC teams abilities as well as other staff members to:*

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

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

* Organizational readiness and preparedness
* Staff readiness and preparedness

In addition, theorganizationconducts the following continuity readiness and preparedness activities:

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

All continuity TT&E events are documented, including the

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

Documentation is managed by the **IC/Compliance Officer** and is found at **104 Windriver Rd, Silverton, ID 83867**

Table 8: Sample of TT&E Documentation

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

## Training

* *Awareness training for all personnel at time of Hire*
* *Annual confirmation of abilities as outlined by each exercise or drill*
* *Succession training*

## Testing and Exercises

Testing and exercises will be conducted at a minimum of yearly consisting of (1) tabletop and (1) Full Scale Exercise which will include:

* *Simple tests and comprehensive examinations*
* *Testing of single components, multiple sections, or the entire plan*
* *Tests and exercises help planners assess, and validate or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.*

*EXAMPLE OF OUR TRAINING AND EXERCISE OBJECTIVES*

| **Continuity Training and Exercise Objectives** | **Description of Objective Achieved** |
| --- | --- |
|  | Initiating |
| **Training:** Have those individuals with continuity roles and responsibilities received continuity training? | All individuals with continuity roles and responsibilities, including leadership and the planning team, have received continuity training. The continuity planners/managers have received advanced training, such as achieving their FEMA Level I and Level II Continuity Practitioner certificate. |
| **Exercising:** Has the organization identified and incorporated the results from previous exercises and real-world events to guide the development of the continuity program? | The organization used results from all previous exercises and real-world events to guide current planning efforts. |
|  | Building |
| **Training:** Have all staff members completed continuity awareness training? | All required staff completed awareness training on the continuity plan and roles, responsibilities, and expectations upon its activation.  |
| **Training:** Has the organization trained continuity personnel on continuity plans and strategies? | All primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training. |
| **Training:** Has continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally)? | The organization trained all continuity planning team members on other inter- and intra-organizational continuity programs. |
| **Exercising:** Has the organization conducted testing of alert and notification procedures? | The organization tests alert and notification procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |
| **Exercising:** Has the organization conducted testing of activation procedures? | The organization tested activation procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |
| **Exercising:** Has the organization conducted testing of accountability procedures? | The organization tested accountability procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |
| **Exercising:** Has the organization conducted testing of the interoperable and available communications capabilities that support identified essential functions? | The organization tested communications capabilities with internal and external partners and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |
| **Exercising:** Has the organization conducted testing of critical systems and equipment and strategies to meet associated recovery time objectives? | The organization tested recovery time objectives for critical systems and equipment and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |
| **Exercising:** Has the organization regularly conducted organization-wide continuity exercises that include exercising of mitigation options that support the continuance of essential functions? | The organization, including senior leadership, exercised the comprehensive continuity plan via functional or full scale exercises. The organization incorporated all or parts of the plan into organization-wide exercises and implemented improvement action planning. |
| **Exercising:** Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after continuity plan activation? | The organization, including senior leadership, exercises the reconstitution plan via functional or full scale exercises. All or parts of the plan are incorporated into organization-wide exercises. Improvement action planning is being implemented. |
| **Exercising:** Has the organization exercised with internal and external partners to coordinate continuity plans and programs? | The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs with the organization's continuity plan and program and participated in associated improvement action planning to improve partner coordination. |
|  | Maintaining |
| **Training:** Has the organization regularly trained continuity personnel on continuity plans and strategies? | All primary and alternate continuity personnel, to include leadership and/or elected officials, received up-to-date training within the past year and annually over a multi-year period. |
| **Training:** Have continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally) on a regular basis? | Continuity personnel participated in regular training with and on other inter- and intra-organizational continuity plans and programs within the past year and annually over a multi-year period. |
| **Exercising:** Has the organization conducted regular testing of alert and notification procedures? | The organization tested alert and notification procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |
| **Exercising:** Has the organization conducted regular testing of activation procedures? | The organization tested activation procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at at least annually over a multi-year period. |
| **Exercising:** Has the organization conducted regular testing of accountability procedures? | The organization tested accountability procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |
| **Exercising:** Has the organization conducted regular testing of the interoperable and available communications capabilities that support identified essential functions? | The organization tested communications systems with internal and external partners within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |
| **Exercising:** Has the organization conducted regular testing of critical systems and equipment and strategies to meet associated recovery time objectives? | The organization tested recovery time objectives for critical systems and equipment within the past year by incorporating the test into an organization-wide exercise. Testing occurs at least annually over a multi-year period. |
| **Exercising:** Has the organization regularly conducted organization-wide continuity exercises? | The organization, including senior leadership, exercised the comprehensive continuity plan in a functional or full-scale exercise within the past year and annually over a multi-year period. |
| **Exercising:** Has the organization progressively exercised its continuity plan and procedures? | The organization conducted a functional or full-scale exercise of its continuity plan within the past year. |
| **Exercising:** Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after continuity plan activation? | The organization, including senior leadership, exercised the reconstitution plan in a functional or full-scale exercise within the past two years and biennially over a multi-year period. |
| **Exercising:** Has the organization regularly exercised with internal and external partners to coordinate continuity plans and programs? | The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs in a functional or full-scale exercise within the past year and has exercised annually over a multi-year period. |

## After-Action Evaluation and Improvement Planning

A comprehensive debriefing or hot wash is conducted after each exercise, allowing participants to identify weaknesses in plans and procedures and recommend revisions to the organization’s continuity plan.

A corrective action plan (CAP) is completed to document and prioritize, issues identified during TT&E activities, assessments, and emergency operations. The CAP incorporates evaluations, after action reviews (AARs), and lessons learned. CAP is maintained by Incident commanderand documentation is found at **104 Wind River Rd, Silverton, ID 83867.**

Table 9: SAMPLE Corrective Action Program Documentation

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

# APPENDIX A: LIST OF SUPPORT APPENDICES

* Business Process Flows
* Contact Rosters
* Communication Plan/Matrices
* Mutual Aid Contracts
* Maps/Directions
* Continuity Team Checklists
* APPENDIX B: AUTHORITIES AND REFERENCES

APPENDIX C: ACRONYMS

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

APPENDIX D: PLAN MAINTENANCE

## Annual Review

Once a year, Loving Care will review its Continuity Plan, components, and supporting elements, and makes any required updates or changes.

Table 10: SAMPLE Continuity Program Review Table

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

# JOB AID – Synchronization Matrix

| **Element** | **Phase I: Readiness and Preparedness** | **Phase II: Alert and Notification** | **Phase III: Continuity Operations** | **Phase IV: Reconstitution** |
| --- | --- | --- | --- | --- |
| **Senior Leadership** | * Ensure all organization employees understand the plan.
* Provide overall policy direction, guidance, and objectives for continuity planning.
* Provide necessary resources to support the implementation of the organization Continuity Plan and supporting activities (e.g., training, exercise).
* Ensure adequate funding is available for emergency operations.
* Ensure all organization components participate in continuity exercises.
 | * Activate Continuity Plan.
* Approve relocation and telework options
* Receive updates; provide guidance on performance of essential functions.
* Delegate authority (if required).
 | * Coordinate with the Continuity Manager.
* Maintain situational awareness.
* Monitor conduct of continuity operations.
* Provide guidance as required.
* Ensure appropriate resources are available.
 | * Provide visible leadership to reconstitution operations
 |
| **Continuity Manager** | * Provide strategic leadership and overarching policy direction for the continuity program.
* Serve as the organization Continuity Program POC.
* Implement the Continuity Plan when necessary, or when directed by a higher authority.
* Update and promulgate orders of succession and delegations of authority.
* Update Continuity Plan annually.
* Develop and lead Continuity training.
* Plan Continuity exercises.
* Update telephone rosters monthly.
* Conduct alert and notification tests.
* Conduct TT&E.
* Ensure Team is equipped and has access to all essential records and supporting materials.
 | * Receive notice of continuity event
* Assess situation
* Initiate Alert/Activation of CT
* Notify/Status of Continuity Facility
* Establish contact with Senior Agency leaders
* **Decision**: Relocate to Continuity Facility or Devolution to other agency(s)
* Coordinate w/PIO, HR, Fac Mgr
* Determine Telework options
* Receive periodic updates from CT
* Provide updates to senior leaders
* Notify external partners of relocation
 | * Monitor conduct of Essential Functions
* Mitigate disruptions
* Ensure availability of required resources
* Monitor expenditures and documentation
* Oversee integration of temp hires
* Emphasize safety
 | * Notify external partners of status of return to primary facility
* Conduct Hotwash of Continuity Ops by CT and support agencies/personnel
* Lead in the development of AAR of Continuity Operations
* Develop Corrective Action Plan (CAP)
* Resume Phase I activities.
 |
| **Continuity Team (CT)** | * Review and understand responsibilities related to continuity support functions at alternate location.
* Provide current contact information to supervisor and Continuity Manager.
* Participate in continuity TT&E.
 | * Alert all CT personnel
* CT reports notification of all members and names of non-responders
* Retrieve personal "Go Kits"
* Accountability of CT Members
* CT Ldr provides Situation Brief
* Depart for Alternate Location
* Begin to track expenditures
 | * Verify status - needed resources/requirements
* Ensure supplies on hand for 30 days ops
* Inventory materials and utility functions
* Conduct Essential Functions/Continuity Ops
* Update and protect essential records
* Provide periodic status reports
 | * Establish schedule to reconstitute Essential Functions at primary facility
* Coordinate with Reconstitution Manager
* Relocate/Reconstitute IAW schedule
* Conduct Hotwash
* Reconstitute Section "Go Kits"
 |
| **Reconstitution Manager** | * Establish reconstitution policies and guidance
* Assemble and train reconstitution team.
* Conduct TT&E activities.
* Coordinate with Continuity Manager.
 | * Assess primary facility
* **Decision:** Decide if primary facility is suitable for continued use
* Coordinate with Security Team
* Notify Continuity Manager
* Initiate calls to Reconstitution Team
* Assemble Reconstitution Team
* Begin reconstitution planning
* Initiate operations to salvage, restore
* and/or recover building, equipment, and systems
* Implement emergency contracts
 | * • Develop Reconstitution Plan
* Oversee and monitor work on primary facility
* Plan phased transition of essential functions to primary facility
* Plan for:
	+ Standard Continuity Transition to normal operations
	+ Devolution to normal operations
 | * **Decision:** Primary (or new) facility can support Essential Functions.
* Inform Senior Leaders
* Provide instructions for resumption of normal operations
* Supervise orderly return of personnel, supplies, and equipment to primary facility
* Conduct After Action Review/Develop CAP
 |
|  |  |  |  |  |

**Continuity Plan**

**[Loving Care & More, Inc. ]**

[November 15, 2017]

# ESSENTIAL FUNCTIONS

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

## Business Impact Analysis Summary

**[INSERT Business Impact Analysis summary here.]**

## Essential Functions and Resource Summary

**[INSERT Business Process Analysis summary here.]**

## Support Functions

**[INSERT summary of essential functions support activities here.]**

## Interdependencies

**[INSERT description of interdependencies here.]**

### Mutual Aid

**[INSERT mutual aid associated with essential functions here.]**

## Expected Costs

**[INSERT expected costs associated with essential functions here.]**

Table 1: SAMPLE Essential Function Table

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

Note: Repeat this table for each EF.

 Note: Repeat this work flow process for each EF.

# ESSENTIAL RECORDS AND IT FUNCTIONS

## Identification and Storage

**[INSERT essential records list and database here.]**

Table 2: SAMPLE Essential Records Database

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

## Backup and Protection

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

## Recovery

**[INSERT process for restoring damaged records here.]**

# HUMAN RESOURCES

## Roles and responsibilities

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

### Senior Leadership

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

### All Personnel

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

#### Personnel Accountability

**[INSERT guidelines for personnel accountability here.]**

### Continuity Personnel

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

Table 3: SAMPLE Continuity Personnel Roster

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

Table 4: SAMPLE Assignment of Responsibilities

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

Table 5: SAMPLE Go Kit Contents

| **Date added** | **Item** |
| --- | --- |
| *Most recent replacement date mm/dd/yy* |   |
|  |  |

## Succession and Delegations of Authority

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

Table 6: SAMPLE Order of Succession List

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

## Additional Human Resources Considerations

**[INSERT guidelines for additional human resources considerations here.]**

### Personal Recovery Assistance

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

### Replacing Staff

**[INSERT guidelines for replacing or augmenting staff here.]**

# COMMUNICATIONS

**[INSERT guidelines for communications systems here.]**

## Resilient Systems

**[INSERT an overview of communications systems here.]**

Table 7: SAMPLE Communications Systems Tracking Table

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

## Senior Leadership Communications

**[INSERT guidelines for maintaining senior leadership communications here.]**

## Alert and Notification

**[INSERT the process for alert and notification here.]**

## Continuity Event Communications

**[INSERT guidelines for continuity event communications here.]**

Table 8: SAMPLE Continuity Event Communications Tracking Table

| **Sender** | **Receiver** | **Method** | **Message** | **Frequency** | **Receipt Notification** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

## Contact Rosters

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

## Tracking the Threat

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

# ALTERNATE LOCATIONS AND TELEWORK

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

## Space and Infrastructure Summary

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

## Access to Communications, Internet, and Remote Servers

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

## Contracts

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

## Maps, Directions, Security, and Access

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

## Telework

**[INSERT guidelines for telework here.]**

## Activation/Relocation

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

Table 9: SAMPLE Alternate Location Checklist

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

# RECONSTITUTION

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

## Procedures

**[INSERT guidelines for primary operating location reconstitution here.]**

Table 10: SAMPLE Reconstitution Checklist

| **Reconstitution Checklist** |
| --- |
| * Identify the Reconstitution Manager for all phases of the reconstitution process.
 |
| * Reconstitution will commence when the **[Organization Head**] or another authorized person ascertains that the emergency situation has ended and is unlikely to reoccur.
 |
| * Within **[insert number]** hours of the Continuity Plan activation, each **[Organization Name]** subcomponent will designate a reconstitution POC to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution.
 |
| * **[Insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**.
 |
| * **[Organization Name]**, in conjunction with **[insert offices and organizations here]**, will determine how much time is needed to repair the primary operating facility and/or acquire a new facility.
 |
| * Should **[Organization Name]** decide to repair the facility, **[insert office/title]** has the responsibility of supervising the repair process and should notify **[insert office/title]** of the status of repairs, including estimates of when the repairs will be completed.
 |
| * Before relocating to the recovered or replaced primary operating facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability.
 |
| * **[Insert office/title]** will verify that all systems, communications, and other required capabilities are available and operational and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.
 |
| * Upon verification that the required capabilities are available and operational, and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, the **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the primary operating facility.
 |
| * The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; the **[Organization Name]** will develop return plans based on the incident and facility within **[insert number]** hours of plan activation.
 |

## Reconstitution Team

**[INSERT guidelines for Reconstitution Team expectations here.]**

Table 11: SAMPLE Reconstitution Team Responsibility Chart

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

# DEVOLUTION

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

## Contract

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

## Transfer of Essential Functions

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

Continuity Program Management

# BUDGETING AND ACQUISITION

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

## Cost Prevention, Mitigation, and Reallocation

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

## Emergency Procurement

**[INSERT continuity program emergency procurement procedures here.]**

# MULTI-YEAR STRATEGIC PLANNING

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

# TRAINING, TESTING, AND EXERCISING (TT&E)

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

Table 12: SAMPLE TT&E Documentation

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

## Training

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

## Testing and Exercises

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

## After-Action Evaluation and Improvement Planning

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

Table 13: SAMPLE Corrective Action Program Documentation

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

# APPENDIX A: LIST OF SUPPORT APPENDICES

**[INSERT a Continuity Plan specific appendices here.]**

# APPENDIX B: AUTHORITIES AND REFERENCES

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

# APPENDIX C: ACRONYMS

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

# APPENDIX D: PLAN MAINTENANCE

## Annual Review

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

Table 14: SAMPLE Continuity Program Review Table

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

## Record of Distribution

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

Table 15: SAMPLE Continuity Plan Distribution Record

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