Governor's Office of Emergency Services

CONTINUITY Planning Guidance

Disaster Preparedness

Preparing the State

Building Statewide Resilience

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PREFACE

CALIFORNIA STATE EXECUTIVE BRANCH CONTINUITY PROGRAM

The ultimate goal of Continuity Planning is to ensure that the State of California is able to continue its vital governmental services and operations under all conditions. For this to take place, state agencies must have plans in place to carry out their departmental essential functions without interruption.

The updated *Continuity Planning Guidance (2018)* provides direction to the State Executive Branch agencies for developing continuity plans and programs. Continuity planning facilitates the performance of Executive Branch essential functions during all-hazards emergencies or other situations that may disrupt normal operations.

State Continuity Planning Objectives

To achieve this high level of continuity capability in California government and industry, the State Executive Branch has adopted a number of State Continuity Planning Objectives. As state agencies develop and/or update their Continuity Plans, it is imperative that they consider and incorporate these planning objectives.

The State Continuity Planning Objectives ensure consistency among federal, state, and local emergency plans. There must be coordinated planning at all governmental levels, thereby providing for a more effective emergency response.

These 21 planning objectives will be used to derive performance measures, establishing tasks and resource requirements. The State Planning Objectives are intended to be broad statements identifying the desired achievements in the development of continuity plans.

State Continuity Planning Objectives	
Objective Number	**State Continuity Planning Objectives**
1.	Ensure the ability to provide continued essential operations/functions of state government by reducing or mitigating disruptions.
2.	Assure compliance with legal, statutory and constitutional requirements.
3.	Maintain civil order by enforcement of laws, criminal investigation, apprehension, crowd control, vital facilities and public services protected.
4.	Provide leadership visible to the state, nation and the world - maintaining the trust and confidence of the citizens ensuring the safety of all residents and visitors.
5.	Maintain and foster effective relationships with states and foreign trade nations.

6.	Protect critical infrastructure and key resources against threats to California and bringing to justice perpetrators of crimes or attacks against California or its people, property or interests.
7.	Provide rapid and effective all-hazard response and recovery consequence management as it relates to the restoration of the state government and business functions.
8.	Protect and stabilize the state's economy to ensure public confidence in its financial systems.
9.	Provide for critical state government services that preserve and improve environmental factors for the achievement of optimum economic, health, safety and well-being of the public.
10.	Contain provisions for the protection of critical equipment, records and other assets.
11.	Provide operational resilience by mitigating the vulnerability of government and private-sector operations protecting our assets, systems and networks.
12.	Contain provisions for an orderly response and recovery from any incident.
13.	Serve as a foundation to protect leadership, essential facilities, equipment, records and other assets.
14.	Provide the ability to quickly activate and integrate individuals and teams providing public situational awareness of critical information through timely press releases, messages and open forums.
15.	Provide strategic planning and decisions on public policy.
16.	Provide legal support, emergency declarations and statutory authorities.
17.	Inter-governmental coordination to improve governmental efficiency and effectiveness to resolve conflicts and incompatibilities through cooperation and communication between local, state and federal governments.
18.	Contain both internal and external communications components, as prescribed in the Standardized Emergency Management System (SEMS), Government Code Section 8560 and in compliance with the National Incident Management System (NIMS) and overarching National Response Framework (NRF).
19.	Ensure continuous performance by providing guidance that facilitates the preparation of a site or activity and/or specific plans and procedures that help ensure safety, reduces loss of life and minimizing damage and losses.
20.	Achieve a timely and orderly recovery from an emergency and resumption of full service to the State of California.
21.	Provide an on-going training effort for continuity issues and responsibilities to department directors and coordinating staff to ensure that ongoing expertise is developed within state service.

State Essential Functions (SEFs)

The identification and prioritization of essential functions, at both the state and agency/department level, is a prerequisite because it establishes the parameters that drive all continuity planning and preparedness efforts. The State Essential Functions (SEFs) are the foundation for continuity programs at all levels of government in California. Specifically, they represent the overarching responsibilities of State government to lead and sustain vital operations and services during a crisis. Therefore, the uninterrupted continuation of the SEFs shall be the primary focus of government leadership during and in the aftermath of an emergency that adversely affects the performance of government functions.

There are eleven cross-government State Essential Functions, vetted by the Governor's Emergency Operations Executive Council in 2006, that must be continued under all circumstances to enable the Executive Branch to carry out its critical government functions and services. The SEFs are categories of functions performed by one or more agencies; they are not new authorities, requirements or functions. They are the critical state government functions that save lives; protect the safety and security of the public; and protect property, critical infrastructure and the environment. Where applicable, state agencies should consider how their functions support the overall State Essential Functions.

State Essential Functions (SEFs)	
	State Essential Functions
1.	**Government Leadership** – Government Leadership (GL) - Provides viable and effective leadership for the people of California while restoring and maintaining critical state essential functions.
2.	**Public Safety** – Maintains public safety and security for the people of California and decreases their vulnerability to threats and hazards.
3.	**Emergency Management** – Protects and preserves the lives, property and environment for the people of California from the effects of natural, technological or human-caused disasters.
4.	**Public Health and Medical** – Ensures the continuity and strength of California's medical, public health, mental health organizations and systems. Supports the health and well-being of the people of California.
5.	**Social Services and Education – E**nsures the continuation of essential social services for the people of California, including services for those with disabilities, access and functional needs populations, and victims of crime. Supports the continued operation of California's educational systems (both public and private) at all levels of government..
6.	**Critical Infrastructure** – Preserves California's infrastructure, including its transportation systems, energy systems, utilities, dams and other critical components. Supports and sustains the personnel required to operate and maintain the physical infrastructure.
7.	**Financial, Economic and Business** – Ensures the financial and economic security of California's business, financial systems/institutions and its citizens.

	Preserves and supports California's labor/workforce. Protects and preserves California's tax and revenue collection capabilities to ensure continuity of California's government.
8.	**Information Technology/Communications** – Protects, maintains and preserves California's communications and technological capabilities. Ensures continued interoperability of California's communications systems.
9.	**Agriculture** – Promotes and preserves the livelihood of California's agricultural community and all its members. Ensures continuation of existing agriculture training and education programs. Ensures that California's agriculture remains strong and competitive.
10.	**Environment** – Protects, preserves and restores California's natural environment, ecosystems, resources and natural habitats and the impacts of natural disasters or other events.
11.	**Information Collaboration** – Encourages and enhances information sharing and collaboration between Local/State/Federal and Private Sectors to more effectively respond and recover from all threats and protect the citizens of California.

National Essential Functions (NEFs)

The following NEFs are the foundation for all continuity programs and capabilities and represent overarching responsibilities of the Federal Government to lead and sustain the nation during a crisis, and therefore sustaining the following NEFs shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency that adversely affects the performance of Government Functions.

National Essential Functions (NEFs)	
	National Essential Functions
1.	Ensuring the continued function of our form of government under the Constitution, including the functioning of the three separate branches of government.
2.	Providing leadership visible to the nation and the world and maintaining the trust and confidence of the American people.
3.	Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests.
4.	Maintaining and fostering effective relationships with foreign nations.
5.	Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests.

6.	Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident.
7.	Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems.
8.	Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

ABOUT THE REVISED CALIFORNIA CONTINUITY PLANNING GUIDANCE

The *Continuity Planning Guidance (2016, revised 2018)* provides instructions for developing a Continuity Plan based on new guidance recently published by the Department of Homeland Security (DHS). In February 2008 (revised January 2017), the *Federal Continuity Directive* (FCD) 1 was released, superseding the previous federal guidance, Federal Preparedness Circular (FPC) 65, *Federal Executive Branch Continuity of Operations* (June 15, 2004). This was followed by the publication of the *Continuity Guidance Circular* (CGC) 1, Continuity Guidance for Non-Federal Entities, released in January 2009 (revised July 2013). The FCD-1 and the CGC-1 are essentially the same, except that the latter is written specifically for States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations. The *Continuity Planning Guidance (2018)* incorporates new information from the CGC-1/FCD-1 and is an update to continuity planning guidance previously published by the California Governor's Office of Emergency Services (OES) in 2015.

The *Continuity Planning Guidance* can be used by any organization, in the public or private sector, to develop a comprehensive Continuity Plan. Supplemental tools are also available, such as data collection worksheets, acronym lists, various continuity discussion/theme papers, glossary, and evaluation checklists. All of these can be accessed on the California Governor's Office of Emergency Services (Cal OES) website. http://www.caloes.ca.gov/For-Governments-Tribal/Plan-Prepare/Continuity-Planning

Although the *Continuity Planning Guidance* provides a general guide for reference, agencies are encouraged to tailor continuity plan development to meet their own needs and requirements. Organizations should include any additional elements that are helpful in understanding and implementing their Continuity Plan. The result will be a baseline plan that can be refined and enhanced over time.

State agencies are not required to use the format modeled in this Guide. The only requirement is that all elements of continuity planning be addressed in Agency/Departmental Continuity Plans. An evaluation checklist, Attachment 3, is included in this Guide to assist continuity planners in verifying that all the critical elements of continuity have been addressed and incorporated into their plans.

State Continuity Program

Creating a "Culture of Continuity" – To create an effective program, continuity planning should not be a separate and compartmentalized function performed by independent cells of a few planners in each agency. It must be fully integrated into all aspects of an organization's daily operations, thus creating a "culture of continuity." The continuous performance of essential functions must be guaranteed with the right people, the right resources, and the right planning. Continuity cannot be an afterthought for organizations as they strive to perform essential functions.

A Note Regarding Plan Design – A Continuity Plan is comprised of a number of component parts and should meet the needs of the various users of the plan and their roles in the overall continuity program. In its entirety, a Continuity Plan should address not only high level overview information about how an organization is supposed to respond to different types of disruptions, but also the operational detail necessary to support these disruptions.

While many individual employees of an organization will need to have knowledge of and access to some parts of the total plan, few will require the entire plan. The design of the organization's plan, and its various parts, should reflect the overall needs of the organization's continuity program. Given the sensitivity of some of this information, the distribution of the plan and its associated documents should be assessed and appropriate security measures implemented. The required level of security may elevate this document to a "For Official Use Only" (FOUO), resulting in the ability to control and limit distribution of the plan. In addition, repetition of information may be necessary, since different individuals may only have access to portions of the plan.

Relationship to Other Plans

There is a relationship and interdependence between other emergency plans maintained by responsible organizations. Though similar, these plans may have different purposes and focuses.

Technology Recovery Plans

There is a conceptual overlap between an organization's Technology Recovery Plan (TRP), formerly known as Disaster Recovery Plan (DRP), and Continuity Planning. The Technology Recovery Planning Program, managed by the California Information Security Office (CISO), is the technical recovery plan for networks, systems, applications, data, and communications, both voice and data. Technology Recovery Planning provides for the recovery and restoration of an agency's information technology and telecommunications infrastructure in support of critical business functions, to minimize decision-making during an event, thus producing the greatest benefit from the remaining limited resources, and achieves a systematic and orderly migration toward the resumption of all computing services within an agency following a business or governmental disruption. Continuity planning focuses on the mission-essential functions of an organization, establishes which of them must be sustained under all circumstances, identifies the resources needed to make that happen, and describes how these mission essential functions may be continued at an alternate site, if necessary.

While Continuity and Technology Recovery Plans share similar objectives and terminology, they are distinct planning programs. It makes good sense to develop both plans in tandem. Per the Statewide Information Management Manual (SIMM) 5325-A (https://cdt.ca.gov/policy/simm/) and State Administrative Manual (SAM) 5300, agencies should consider the TRP as one portion of their overall Continuity Program.

Planners need not duplicate their efforts when addressing similar information in both the TRP and the Continuity Plan. Where the continuity element/information required by Cal OES's continuity guidelines has been covered adequately in the TRP, it is recommended that an organization merely include a reference in the plan that the subject matter (more specifically, information regarding the agency's information technology and telecommunications infrastructure) can be located in their TRP and where it can be found. However, it is important to note that the TRP may not require the same scope of information in some areas. The continuity planner should refer to the Continuity Plan Evaluation Checklist which includes a listing of sub-elements that must be included in the continuity plan and/or technology recovery plan.

In addition, a statewide effort aligned the definitions common to both continuity and technology recovery planning. The purpose of generating these definitions is to create a standard, common use of terms for related planning efforts. Only terms common to both disaster recovery and continuity planning were addressed. A glossary which includes these aligned terms is included as an attachment to this Guide.

Business Continuity Management (BCM) Plans

There are a number of significant similarities between the government model of continuity planning and business continuity management. The Federal Continuity Planning program and business continuity share common ground in that they both stress the maintenance or quick recovery of mission-critical functions following a disruption. Even though government and business may seek to prepare for different contingencies (government-the continued performance of legislatively mandated responsibilities and services; the private sector-loss of profit margins and competitive edge), the planning components they use are comparable. Both programs can be used to strengthen the continuity capability of an organization.

There is one significant difference however, between these two continuity models. The Federal Continuity Planning Program not only emphasizes the necessity to continue critical functions under all circumstances, but also that government leadership must be continued. Important program elements related to the continuity of government include: lines of succession and delegation of emergency authorities. It is important that state agencies address both aspects of continuity within their plans.

For state agencies and other entities who are more familiar with the business continuity model, a number of tools (i.e., crosswalks, glossaries, checklists) have been developed to assist the user in the update of their continuity plan and associated documents. These will be posted to the Cal OES website as they become available.

Federal Continuity Program

The following is a summary of the Federal Continuity Program as outlined in the: *National Continuity Policy*, *National Continuity Policy Implementation Plan*, and *Federal Continuity Directives*/*Continuity Guidance Circulars*.

National Continuity Policy

In May 2007, the National Security Presidential Directive-51/Homeland Security Presidential Directive-20/Presidential Policy Directive-8 (NSPD-51/HSPD-20/PPD-8) *National Continuity Policy* was issued by the President to establish and maintain a comprehensive and effective national continuity capability in order to ensure the preservation of our form of Government

under the Constitution and the continuing performance of National Essential Functions (NEF) under all conditions.

National Continuity Policy Implementation Plan

In August 2007, the President approved the *National Continuity Policy Implementation Plan* to build upon the *Policy* and provide guidance to executive departments and agencies on appropriately identifying and carrying out their primary essential functions that support the eight National Essential Functions—the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency.

Federal Continuity Directives

To provide the operational guidance to implement this policy, the Department of Homeland Security, in coordination with its interagency partners, developed *Federal Continuity Directives (FCD)*. The purpose of the FCDs is to provide direction for the development of continuity plans and programs for the Federal Executive Branch. Most of the requirements in FCD-1 will be familiar to the continuity manager from the prior guidance and industry best practices. Everything an organization did to be consistent with FPC-65 will be continued. However, some areas have been reprioritized and some new requirements have been added. The implications for the California Continuity Program will be delineated in the UPDATED State Continuity Program section.

The *National Continuity Policy* (NSPD-51/HSPD-20/PPD-8), the *National Continuity Policy Implementation Plan*, and *the Federal Continuity Directives* establish the framework for the new Federal Continuity Program. Most of these documents and other helpful resources can be found on the FEMA webpage (www.fema.gov).

Continuity Guidance for Non-Federal Entities

To assist States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations to implement the federal continuity model, the Department of Homeland Security, Federal Emergency Management Agency published the Continuity Guidance Circular (CGC) 1, *Continuity Guidance for Non-Federal Entities* in January 2009 (revised July 2013). The continuity elements described in this Circular are consistent with the FCD-1 (https://www.fema.gov/media-library/assets/documents/86266).

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PROPOSED CONTINUITY PLAN TEMPLATE OUTLINE/CONTENTS

<Name of Agency>

<Date>

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ANNEXES – To Agency Continuity Plan

WORKSHEETS – Agency's Completed Worksheets

<AGENCY NAME> CONTINUITY PLAN APPROVALS

The Continuity Plan Approvals page is used to indicate that the organization's senior level officials have read the Continuity Plan and understand their responsibilities should a disruption occur. The below sample language may be used for the acknowledgement:

By their signatures below, the following senior level officials certify that they approve this Continuity Plan and fully understand the continuity of business operations procedures that are to be followed in the event of an emergency that impacts the facilities and employees for which they are responsible.

Approved: _____ Date _____

[Name/Title]

Approved: _____ Date _____

[Name/Title]

Approved: _____ Date _____

[Name/Title]

Approved: _____ Date _____

[Name/Title]

<AGENCY NAME> CONTINUITY PLAN

I. EXECUTIVE SUMMARY

The Executive Summary should provide a brief overview of the organization's Continuity Program, including policies, plans, processes, materials, and activities that support the organization's continuity capability. It should outline the organization and content of the Continuity Plan and describe what it is, whom it affects, and the circumstances under which it should be activated.

II. INTRODUCTION

The Introduction to the Continuity Plan should explain the importance of continuity planning to the organization. Continuity plans address incidents that disrupt normal operations. They are needed to address exceptional and adverse operating conditions. The introduction should include typical adverse conditions anticipated to be covered by the organization's plan.

The introduction should also discuss the background behind continuity planning and may reference recent events that have led to an increased emphasis of the importance of a continuity capability for the organization. It should explain the intended use of the document and the plan's architecture, i.e. how the Continuity Plan is organized and where information is housed. Remember, the Continuity Plan may consist of elements from other plans, such as emergency relocation plans, that physically reside external to this document *and may be incorporated by reference*.

The Continuity Plan is not complete until it addresses all the elements of a viable continuity capability:

- Essential Functions
- Orders of Succession
- Delegations of Authority
- Continuity Facilities
- Continuity Communications
- Essential Records Management
- Human Resources
- Test, Training, and Exercise (TT&E) Program
- Devolution of Control and Direction
- Reconstitution Operations

State agencies can organize their Continuity Plans in a way that makes the most sense to their operation and organization. The only requirement is that all of the continuity elements listed above have been addressed within the plan.

III. PURPOSE & ASSUMPTIONS

A. Purpose

The Purpose section should briefly discuss applicable Federal and State guidance, affirm the organization's commitment to continuity planning, and explain the overall purpose of continuity planning, which is to ensure the continuation of mission essential functions and services, at both the State and individual department level. Because of today's changing threat environment, this section should state that the Continuity Plan is designed to address all hazard threats to include interdependencies from other organizations or deployment activities.

Again, the emphasis here should be that Continuity Plans address circumstances when normal, standard operations become overwhelmed.

This section should also emphasize that the plan identifies recovery strategies for essential functions only. Although there may be other important functions, this plan only covers those that are mission and time critical.

B. Assumptions

The Assumption section should include the assumptions on which the Continuity Plan is based. Each continuity plan is based on a set of assumptions that, if not true, will render the plan ineffective. The test for a planning assumption is: will the plan fail if the assumption is not true? The following is a sample set of basic assumptions:

- Emergencies or threatened emergencies may adversely affect the organization's ability to continue to support essential internal operations and to provide services to clients or support to external agencies.
- Personnel and other resources from the organization and other organizations outside of the area affected by the emergency or threat will be made available if required to continue essential operations.
- Whereas this Continuity Plan may be activated in response to a wide range of possible emergencies, the disruption scenarios employed in the development of the Plan are described on **Worksheet 4: Specific Threat Impact Assessment.**
- Where measures to implement agency-level continuity plans are operationally inconsistent with the actions needed to support SEFs, the latter will supersede.

The specialized requirements of each individual organization may require additional or alternate assumptions.

IV. APPLICABILITY AND SCOPE

A. Applicability

The Applicability section should describe the applicability of the Plan to the agency as a whole, as well as to specific personnel and groups within the organization. Additionally, this section should describe the role of other plans and their relationship to the organization's Continuity Plan. Other planning documents may include Occupant Emergency Response Plans (OEP), Technology Recovery Plans (TRPs), Emergency Operations Plans (EOPs), and Business Continuity Plans (BCPs). Distinguish the role of the Continuity Plan from other related plans.

B. Scope

The Scope section should include the range or extent of activity and limitations of the plan. Continuity Plans should map out the continuation or rapid restoration of essential operations and failed facilities or equipment with a skeletal crew and minimum resources needed to achieve this task. This section provides the focus for the planning efforts. The Plan's scope should encompass all of the organization's essential functions. The Plan must be based on the "worst case scenario," which would include the inaccessibility or unavailability of the organization's facility or building complex, and all of its contents. An organization should consider the division, business units, and essential functions covered by the Continuity Plan, the anticipated response time required to recover essential functions under emergency circumstances, and the period of sustainment.

This section should also include the organization's specifications regarding plan performance. For example, the organization expects a response time of 12-hours for all essential functions identified in the plan and a sustainment period of 30 days for those functions. Other specifications may include that the plan addresses emergencies that occur both with or without warning, or during on-duty or off-duty hours.

Limitations included in this section may comprise scenarios that the Continuity Plan is not contemplated to cover or vulnerabilities that have been identified during the planning process for which solutions are not yet available.

V. ESSENTIAL FUNCTIONS

The State Executive Branch understands that the entire spectrum of government functions may not be performed or needed in the immediate aftermath of an emergency. Indeed, in a crisis, resources may be scarce. Allocating resources based on sound planning helps to ensure that the delivery of essential functions and services will remain uninterrupted across a wide range of potential emergencies and provides a mechanism for the resumption of all functions as resources become available. Directly linking an agency's mission essential functions to a State Essential Function (SEF) requires the State Executive Branch to identify the most critical functions that must continue during an emergency as well as the planning required to perform those functions.

To support its continuity requirements, the State Executive Branch recognizes the following two categories of essential functions:

- Agency/Department Mission Essential Functions: The limited set of organizational-level business core functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. Agency mission essential functions are: (1) those functions that 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; (2) those functions which must be performed in order to support the performance of the SEFs before, during, and in the aftermath of an emergency.
- State Essential Functions (SEFs): The eleven cross-government SEFs, which are a collective of agency functions, represent the overarching responsibilities of State Government to lead and sustain California and shall be the primary focus of the State's leadership during and in the aftermath of a catastrophic emergency. (List of SEFs can be found on page 6 and page 7 of this Guide).

Organizations should:

- Identify all functions, then determine which must be continued under all circumstances
- Prioritize these essential functions
- Establish staffing and resource requirements
- Integrate supporting activities

Develop a plan to perform additional functions as the situation permits.

A. Identification and Prioritization of Essential Functions

Identification of Agency/Department Essential Functions – The identification of agency/department essential functions is the foundation for continuity planning. Essential functions, broadly speaking, are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during an emergency. The identification of mission critical government functions will focus on defining the activities that are conducted to accomplish the agency's mission, serve its stakeholders, and ensure the continuation of the State Essential Functions.

In this section, or in a separate annex, an organization should include a complete list of their prioritized essential functions. The list should be based on the agency's prioritization strategy, which is explained below.

Worksheet 1: Essential Functions, which is the first of a series of worksheets provided as tools to work through the continuity planning process**,** may be used to capture this information. In addition, **Worksheet 2: Essential Functions Questionnaire** is another tool that can be used to analyze whether a function is essential.

Unless essential functions are correctly and completely identified, an organization's Continuity Plan may not effectively ensure that the most vital government services can be maintained in an emergency. Use the information captured in **Worksheet 1** to complete Table 5-1 below.

Table 5-1: Prioritized Essential Functions

Priority (A, B, C, D, E)	Essential Function	Department/Division/ Operating Unit

Prioritization of Essential Functions **--** This section should also explain how the organization's essential functions are prioritized. These Priority Classifications are based on recovery time objectives (RTOs). An RTO is an estimate of the maximum tolerable duration between when a disruption occurs and when the function is resumed under emergency conditions, (i.e. the maximum amount of time the function can be down). The following classification system was used by the California

Governor's Office of Emergency Services (Cal OES) to prioritize its essential functions and is included only as an example. An organization may choose different priority classifications based on their responsibilities and essential functions.

- A: Emergency response functions (0-2 hours)
- B: High impact on public health or safety (up to 24 hours)
- C: High impact on public safety and health, or on department critical operations (up to 72 hours)
- D: Moderate impact on public safety, health or department critical operations (1-3 weeks)
- E: Low Impact (3 weeks or longer)

Organizations can elect to use alternate criteria to determine the recovery priorities for its essential functions. An organization should avoid using rank-ordering priority methods during the continuity process, since some essential functions may be equally important to the organization and have similar recovery time objectives. A discussion paper, ***Rating and Prioritizing an Organization's Functions for Continuity Planning***, is included in the program materials and is available on the Cal OES website. Follow the link below to access this discussion paper.

http://www.caloes.ca.gov/PlanningPreparednessSite/Documents/RatingPrioritizinganOrganization'sFuctionsContinuityPaper_2008.doc

B. Resource Requirements

Once an organization has correctly identified and prioritized its essential functions, the next thing to consider is the minimum resources needed to continue the essential functions in an emergency. Resource requirements include:

- Alternate Facilities or Work Sites
- Communications Systems
- Key Personnel
- Essential Records and Databases
- Vital Systems and Equipment
- Key Vendors
- Supporting Government Agencies or Departments

In this section, the organization should identify the minimum resource requirements needed to support each essential function. **Worksheet 3: Resource Requirements for Essential Functions** may be used to capture the critical resources needed by the organization to perform its essential functions. Worksheet 3 is designed to capture the resources used by the agency in normal (non-emergency) operating conditions. After these resources have been identified, the organization can work towards ensuring that the resources are protected at all times. For those resources that cannot be adequately safeguarded, the organization must select alternate or back-up resources in order to ensure that essential functions are available at all times.

C. Functional Dependencies

Organizations may have essential functions that rely on the availability of resources or functions controlled by another agency. In this section, identify these dependencies and link them to the essential function(s) that they support. Pinpoint the required recovery time objective (RTO) for each of these dependencies and indicate whether the organization is satisfied with the level of support or if this dependency represents vulnerability.

VI. AUTHORITIES AND REFERENCES

The Authorities and References section should outline all authorities and references that support the development and implementation of the Continuity Plan. This section should also include any federal, state, or local ordinances that allow for the designation of emergency or temporary locations for the seat of government, or the actions required to transition the affairs of state government. In addition, it should include any specific provisions that allow for the delegation of authority. This information can also be folded into an annex and referenced here.

VII. CONCEPT OF OPERATIONS

A continuity plan is implemented to ensure the continuation or rapid resumption of essential functions in the aftermath of an emergency. An organization should develop an executive decision-making process that allows for a review of the emergency and a determination of the best course of action based on the agency's readiness posture. Implementation procedures and criteria should be integrated into the continuity plan.

The Concept of Operations section should explain how the organization will implement its Continuity Plan, and specifically, how it plans to address each critical continuity element. An agency's continuity implementation process will include the following four phases: (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. The Concept of Operations should briefly describe actions taken during each of these phases.

A. CONCEPT OF OPERATIONS – Phase I: Readiness and Preparedness

Readiness is the ability of an organization to respond effectively to any event that threatens its ability to continue mission-critical functions and services. Although readiness is a function of planning and training, it is ultimately the responsibility of an agency's leadership to ensure that an organization can perform its mission essential functions before, during, and after all-hazards emergencies or disasters.

For California state executive branch agencies and departments, the Continuity of Government Readiness Conditions (COGCON) system establishes readiness levels in order to provide a flexible and coordinated response to escalating threats or actual emergencies. The COGCON system is a means to measure and report readiness of existing continuity programs.

The Continuity Phase I section should capture the organization's efforts to establish a "continuity readiness posture" – continuity readiness and preparedness activities, including the development, review, and revision of plans, tests, training, and exercises, risk management, etc.

1. Risk Analysis

A risk analysis is the process of collecting and evaluating information on risks and hazards that may impact agency operations. What are the sources of risk? This list can be infinite, if one considers all the possible dire things that can occur. The challenge is to identify those risks that are pertinent in the context of the government operations under consideration. These risks can typically be categorized into three groups:

- **Natural hazards**, such as hurricanes, earthquakes, floods, and snowstorms are emergencies caused by forces extraneous to man in elements of natural environment; cannot be managed and are often interrelated.
- **Technological hazards** are emergencies that involve materials created by man and that pose a unique hazard to the general public and environment. Jurisdictions need to consider events caused by accident, mechanical failure, and system or process breakdown.
- **Adversarial or human caused hazards**, sometimes called *threats*, are disaster(s) created by man, either intentionally or by accident to cause harm, such as workplace violence, bomb threats, and civil disturbances.

The organization should identify possible risks or hazards that may threaten the continuance of essential functions. The purpose of the risk analysis is to develop a list of hazards that are of such significance that they are reasonably likely to cause devastating harm to the agency if they are not effectively controlled.

The objective of this analysis is to identify vulnerabilities in operations and take steps to mitigate losses and/or develop recovery strategies.

To complete a risk analysis, the organization should:

- List all of the threats that may potentially have an impact on the organization's ability to deliver its essential functions. Examples of threats are included in the following table:

Natural Hazards	Technological Hazards	Adversarial Hazards
Flood Fire Earthquake Tsunami Hurricane Tornado Severe Weather Public Health Emergencies, e.g. Pandemic Flu	Hazardous Material Spill Airplane Crash Power Outage IT Technology Failure Supply-Chain Failure Communication Outage	Terrorism Labor Strike Sabotage Supply Chain Disruption Regulatory Action Civil Disobedience Cyber Threats Economic and Financial Suspicious Package Active Shooter

- Assess the impact of the risk based on the severity of the impact of the threat and the probability of occurrence. **Worksheet 4: Specific Threat Impact Assessment** may be used to make this assessment. When assigning the probability of occurrence, you should also consider where the

event is likely to occur in the context of whether the government operations under consideration are exposed to the risks.

- Assess whether the organization has implemented effective control measures or other procedures that mitigate the occurrence of loss or damage resulting from this event.
- Determine if the likelihood of occurrence of this threat is substantial enough to be included in the organization's Continuity Plan. When using Worksheet 4 to complete this assessment, risks with a score of 6 or higher are considered to cause a significant disruption to operations.

2. Vulnerability Assessment

The organization should provide a vulnerability assessment for each essential function. This assessment should identify scenarios that pose a risk to the continuity of the function. **Worksheet 5: Preliminary Vulnerability Assessment** may be used to capture this information.

In continuity planning, the planning can become extremely cumbersome if specific plans were to be developed for every possible type and circumstance of something going wrong. The first step in preparing a vulnerability assessment is to survey or scan the environment of possible risks identified above and translate that environment into a set of risk scenarios. A hazard vulnerability assessment tool can also be found at MyHazards http://myhazards.caloes.ca.gov/.

For most operations, the following scenarios have proven to be sufficient:

- Local facility disruptions, typically single buildings;
- Region-wide disruptions affecting all or many government buildings in the region;
- Disruption of a communications system;
- Disruption of access to essential records or databases;
- Disruption to availability of specialized equipment or systems, including computing systems (other than traditional communications systems);
- Loss of services from a vendor or another government agency;
- Unavailability of personnel.

Organizations should evaluate their risk environment to determine whether the disruption scenarios listed above are sufficient to cover their universe of risk or if other scenarios need to be added.

Worksheet 5: Preliminary Vulnerability Assessment is designed to capture information based upon the scenarios listed above. The first step is to estimate the consequences associated with the occurrence of a disruption scenario on an essential function. Although Worksheet 5 provides a suggested method for measuring degrees of disruption, organizations may choose the values they wish to use.

In the second step, determine whether your organization has existing capabilities to recover the essential function if the resource were lost for areas where a disruption may have major or significant impact on operations. Consider formal

processes that are currently in place for recovering operations. For example, the IT Department may have a formal process for recovering the relevant computing system (operating platform and systems, application software, network access) at a third party vendor site. These formal processes or "standard operating procedures" should become part of the continuity plan. The existence of the capability should be noted because it enhances awareness of how resiliency of operations is assured. Those areas where existing capabilities do not exist to recover the essential function are identified as vulnerabilities.

3. Continuity Plan Development, Review, and Revision

Address the organization's strategy to ensure that the Continuity Plan contains the most current information. It should describe the maintenance strategy and tactics, including event-driven changes and periodic reviews. Organizations should review the entire Continuity Plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations should be updated as changes occur.

4. Tests, Training, and Exercises

Outlines the organization's Tests, Training, and Exercise (TT&E) strategy. Tests, Training, and Exercises familiarize continuity personnel with their roles and responsibilities in support of the performance of an organization's essential functions during a continuity event, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the Continuity Plan. Managers may be creative when it comes to continuity readiness and include snow days, power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

To maximize the capabilities of potential responders, all employees should participate in the planning, implementation, and critique of exercises that test their Continuity Plan. Testing the Continuity Plan will validate the plans, policies, procedures and systems; identify deficiencies in the organization's continuity program and allow for subsequent correction.

The TT&E plans should provide:

1. Individual and team training of organization personnel;
2. Internal organization testing and exercising of continuity plans and procedures;
3. Testing of alert and notification procedures;
4. Refresher orientation for continuity personnel; and
5. Joint interagency exercising of continuity plans, if appropriate (for example, situations where an organization's ability to deliver an essential function is dependent on a support function from another organization).

B. CONCEPT OF OPERATIONS – Phase II: Activation and Relocation (0-12 Hours)

Organizations should develop an executive decision process that would allow for a review of the nature and extent of the emergency to determine the best course of action

for response and recovery. This process will preclude premature or inappropriate activation of an organization's Continuity Plan. Operational details necessary to implement the plan should be outlined in the Continuity Plan and expanded on in a Concept of Operations Annex to the plan. A discussion paper titled ***Executive Command & Control Issues*** is available on the Cal OES website for further guidance. http://www.caloes.ca.gov/PlanningPreparednessSite/Documents/ExecutiveCommandControlDiscussionPaper_2008.doc

The Continuity Phase II section should outline the activation procedures for the Continuity Plan. It should also include information about the relocation procedures, from the primary facility to the alternate facility; and guidance for non-relocating personnel.

1. Decision Process

Explain the logical steps associated with implementing a Continuity Plan, the general incident escalation process, the circumstances under which a plan may be activated (both with and without warning), and identify who has the authority to activate the Plan. This process can be outlined here or depicted in a graphical representation (e.g., flow chart).

Include a brief description of the infrastructure of the teams the organization has created to implement the Continuity Plan: for example, the Initial Assessment Team, the Senior Activation Team, and the Advance Relocation Team. The roles and responsibilities of each team should be explained in this section. See the discussion paper titled ***Executive Command & Control Issues*** for further guidance.

2. Alert, Notification, and Implementation Process

Describe the events following a decision to activate the Continuity Plan. This includes employee alert and notification procedures and the Continuity Plan implementation process. Any tools used in the alert and notification process, such as notification trees or automated software should be noted in this section.

Table 7-1: Notification Procedure

Individual/Organization to be Notified:	To be Notified By:

3. Leadership

- **Orders of Succession** - Identify orders of succession to key positions within the organization. The order of succession should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations (at least three deep). The conditions under which succession will take place, the method of notification, and any temporal, geographical, or

organizational limitations of authority should also be identified in this section. You should identify any existing statutes covering lines of succession. **Worksheet 14: Key Positions and Orders of Succession** may be used to capture this information and to complete Table 7-2.

Table 7-2: Key Positions & Orders of Succession

Essential Function	Key Position	Successors

- **Delegations of Authority** - Identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Such delegations may also be used to address specific competency requirements related to one or more essential functions that are not otherwise satisfied by the lines of succession. Delegations of authority should document the legal authority for making key decisions, identify the programs and administrative authorities needed for effective operations, and establish capabilities to restore authorities upon termination of the event. **Worksheet 15: Delegations of Authority** may be used to capture this information and to complete Table 7-3.

Table 7-3: Delegations of Authority

Authority	Type of Authority	Position(s) Holding Authority	Triggering Conditions	Limitations on Delegation

- **Devolution** - Address how an organization will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location. Identify provisions, if any, for pursuing devolution and include a list of alternative agencies.

4. Relocation

Outline procedures for relocating essential functions, including required resources, to a continuity facility. This section should also include procedures for dealing with personnel who are not to be relocated to the continuity facility. If an organization has existing emergency relocation plans, they may be incorporated by reference.

The Continuity Phase II section should identify initial arrival procedures, as well as operational procedures, for the continuation of essential functions at a continuity facility.

5. Continuity Facilities

The use of continuity facilities, alternate usages of existing facilities, and telework options enhances the resiliency and continuity capability of organizations. In the event of an emergency, identifying a continuity facility capable of supporting essential operations, positions, and personnel is critical. These facilities must be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and the collective protective characteristics of the facility.

Include a list of continuity facilities to which essential functions will be relocated and the resources that are required to be available at the alternate location. In the Continuity Facilities section, an agency should include any pre-identified continuity facilities, including those with Memorandums of Understanding (MOUs). This section should also include strategies for moving and recovering essential functions at the alternate location, including the pre-positioning of supplies (where possible), mirroring computer systems and databases at the alternate facility, or putting service level agreements in place with key vendors. Organizations must define these systems and equipment and address the method of transferring/replicating them at an alternate site. (See **Worksheet 12: Mission Critical Systems and Equipment**)

Table 7-4: Mission Critical Systems & Equipment (Worksheet 12)

System or Equipment Name	Current Location	Other Locations

C. CONCEPT OF OPERATIONS – Phase III: Continuity Operations

The Continuity Phase III – Continuity Operations section should identify initial arrival procedures if relocation was necessary, as well as operational procedures for the continuation of essential functions.

1. Essential Files, Records, and Databases

The identification, protection, and ready availability of essential records, databases, and hardcopy documents needed to support essential functions under the full spectrum of all-hazards emergencies are critical elements of a successful continuity plan and program. Organizations identify essential files, records, and databases, to include classified or sensitive data, which are necessary to perform essential functions and activities and to reconstitute normal operations after the emergency ceases. Organizational elements should pre-position and update on a regular basis those duplicate records, databases, or back-up electronic media necessary for operations.

There are two categories of records to be reviewed and prioritized, then transferred (either hard copy or electronic media) to an alternate location:

a. Emergency Operations Records

b. Rights and Interests Records

Table 7-5: Essential Records and Databases (Worksheet 11)

Essential File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location	Maintenance Frequency

2. Continuity Communications

The success of continuity programs is dependent on the availability of robust and effective communications to provide internal and external connectivity. Continuity Communications provide information on the organization's mission critical communication systems necessary to perform essential functions and activities. Organizations must define these systems and address the method of transferring/replicating them at a continuity facility. This section should address both operable and interoperable communications, which includes equipment with voice and/or text capability. Examples of such equipment include the following:

- Mobile Telephones
- Satellite Telephones
- Two-way radios
- Pagers

- ❑ Non-secure Telephones
- ❑ Secure Telephones
- ❑ Internet connection for email and web access
- ❑ Facsimile

Table 7-6: Continuity Communications Systems (Worksheet 9)

Communications System	Current Provider	Services Provided	Emergency Services	Alternate Providers or Modes

3. Human Resources (Protection of Government Resources)

The organization should list existing procedures that are in place to protect an organization's resources, with an emphasis on personnel. This section should specify the resources and personnel to be transferred to the alternate site and the methods for safely transporting them to the site. It should also describe the various documents and checklists available to employees to encourage and facilitate individual and family preparedness.

4. Vendors & Other Agency Functions

Identify how the department will continue to receive needed support from external vendors or supporting agencies at the alternate site.

Table 7-7: Vendors & Other Agency Functions (Worksheet 13)

Name of Vendor or Supporting Agency	Description of Product or Service	Which Activity or Task Does this Vendor or Supporting Agency Support?	RTO	Can this Vendor or Agency Satisfy RTO?	Alternate Providers or Modes

D. CONCEPT OF OPERATIONS – Phase IV: Reconstitution

The Continuity Phase IV section should explain the procedures for returning to normal operations – a time phased approach may be most appropriate. This section should include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. Consider Worksheet 16 for critical recovery activities.

Organizations should also anticipate developing an After Action Report (AAR)/Corrective Actions (CA) to determine the effectiveness of continuity plans and procedures.

VIII. CONTINUITY PLANNING PROGRAM RESPONSIBILITIES

The Continuity Planning Program Responsibilities section should include additional delineation of continuity responsibilities of each key staff position, to include members of the Senior Activation Team, and possibly an Essential Function Recovery Team. Team members and individuals should be identified in the lines of succession and delegation of authority. An organization may want to consider including staff responsible for Technology Recovery Planning. This section should also include a description of the responsibilities of continuity planners for normal day-to-day program support. List the position with the description of duties in Table 8-1.

Table 8-1: Key Positions & Description of Responsibilities (Worksheet 14)

Position	Description of Responsibilities

IX. LOGISTICS

The Logistics section of the Continuity Plan should contain information about recovery logistics requirements. Examples of these requirements include:

- Space requirements;
- Human Resource Support Requirements, such as food provisions, sleeping arrangements, transportation, etc.; and
- MOU's and Provisioning Contracts (the actual documents may be housed in annexes).

This section should also include detailed recovery procedures for the loss of key resources. Identify provisions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis. These provisions must be available for up to 30 days or until normal operations can be resumed.

Much of the information contained in this section will actually be owned by Division representatives rather than the Continuity Program. The plan itself may contain references to where this information is housed and maintained within the organization.

In addition, logistical information regarding the recovery and restoration of the agency's information technology and telecommunications infrastructure will be addressed in their Technology Recovery Plan (TRP). Rather than duplicating the information in the Continuity Plan, it is sufficient to note that this subject matter is adequately addressed in the agency's TRP.

A. Continuity Facilities

Explain the significance of identifying alternate sites, the requirements for a continuity facility, and the advantages and disadvantages of each site. Senior managers should take into consideration the operational risk associated with each facility.

Performance of a risk assessment is vital in determining which continuity facility will best satisfy an organization's requirements. Continuity facilities should provide:

1. Sufficient space and equipment;
2. Capability to perform essential functions within 12 hours, up to 30 days (or other time frame as determined by the organization);
3. Reliable logistical support, services, and infrastructure systems;
4. Consideration for health, safety, and emotional well-being of personnel;
5. Interoperable communications; and
6. Computer equipment and software.

Table 9-1: Minimum Facility Requirements (Worksheet 7)

Essential Function	Number of Personnel	Equipment	Communications	Space Required	Security	Access

B. Mission Critical Systems & Equipment

Identify available and redundant mission critical systems and equipment that are located at the continuity facility. These systems and equipment should provide the organization with the ability to perform its essential functions at the alternate site, as well as to support the organization's resumption to normal operations. Mission critical systems and equipment should provide:

- Capability commensurate with an organization's essential functions;
- Ability for personnel to access systems and equipment;
- Ability to support continuity operational requirements; and
- Ability to operate at the continuity facility within 12 hours and for up to 30 days (or the time frame determined by the organization).

C. Continuity Communications

Identify available and redundant critical communication systems that are located at the continuity facility. These systems should provide the ability to communicate within the organization and outside the organization. Continuity communications should provide:

- Capability commensurate with an organization's essential functions;
- Ability to communicate with essential personnel;
- Ability to communicate with other agencies, organizations, and customers;
- Access to data and systems;
- Communication systems for use in situations with and without warning;
- Ability to support continuity operational requirements;
- Ability to operate at the continuity facility within 12 hours and for up to 30 days (or the time frame determined by the organization); and
- Interoperability with existing field infrastructures.

It is recommended that an organization create a communication plan for internal and external communications for use by Executive Management (or their successors). This communication plan would identify key stakeholders that are to be contacted, what information is to be provided, and when the contact is to be made.

D. Personnel

Identify personnel with key skills or experience and available back-up resources. When identifying key personnel, consider the following circumstances:

- Specialized training or skills that are required to perform the essential function;
- The minimum number of personnel required to perform the essential function;
- Other personnel available with skills that are transferable to support essential functions; and
- Whether performance of the essential function requires transfer of the personnel to an alternate site (i.e., personnel can perform tasks via telecommuting).

E. Vendors & Other Agency Functions

Address the availability of vendors or other agencies to support essential functions. This section should identify the procedures to be used for the delivery of services at the continuity facility.

X. MULTI-YEAR STRATEGY PROGRAM MANAGEMENT PLAN & BUDGET

A comprehensive continuity plan is often the result of layer after layer of development over time. Initially, an organization should focus on establishing a baseline of capability for each of the continuity elements. The organization should document where gaps continue in their preparedness and develop a plan/strategy so they can be addressed. This is often captured in a Multi-Year Strategy Program Management Plan (MYSPMP), which can then be attached to an organization's continuity plan as an annex. An agency's multi-year strategy may also be incorporated into the continuity plan. If the organization opts to create a separate MYSPMP, it should be referenced in the continuity plan.

The MYSPMP/or multi-year strategy section of your plan, should address short and long term continuity objectives, timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments. It should include a prioritized list of vulnerabilities that have been identified for the organization.

ANNEXES TO AGENCY CONTINUITY PLANS

Annexes contain highly detailed and necessary information, typically as either backup or reference material. Some annexes may include information typically contained in appendices. Other annexes may contain information or references to material that are owned and housed by departments, division, branches, or sections outside the Continuity Program itself. The annexes recommended in this guide contain the minimum information that should be included in a continuity plan. An organization should include any additional annexes required to support its continuity plan. No particular order or sequence is required for Annex material.

Annex A: Authorities and References

The Authorities and References Annex should cite a list of authorities that mandate continuity planning and include references to support documents.

Annex B: Operational Checklists

The Operational Checklists Annex should contain operational checklists for use during a continuity activation. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate site. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task. Sample operational checklists include:

- ❑ Telephone Cascade
- ❑ Emergency Calling Directory
- ❑ Key Personnel Roster and Essential Functions Checklist
- ❑ Senior Activation Team (SAT) Roster

- ❑ Emergency Relocation Team Checklist
- ❑ Continuity Facility Checklist
- ❑ Emergency Operating Records and IT Checklist
- ❑ Emergency Equipment Checklist

Annex C: Essential Functions

The Essential Functions Annex should include a list of identified essential functions.

Annex D: Continuity Facility/Alternate Work Site Information

The Continuity Facility/Alternate Work Site Information Annex should include general information about continuity facilities/alternate work sites. Examples include the address, points of contact, and available resources at the continuity facility.

Annex E: Maps and Evacuation Routes

The Maps and Evacuation Routes Annex should provide maps, driving directions, and available modes of transportation from the primary facility to the continuity facility. Evacuation routes from the primary facility should also be included.

Annex F: Definitions and Acronyms

The Definitions and Acronyms Annex should contain a list of key words, phrases, and acronyms used throughout the continuity plan and within the continuity community. Each key word, phrase and acronym should be clearly defined.

Annex G: Concept of Operations

The Concept of Operations Annex should contain the operational details and procedures necessary to execute the provisions of the plan. This is a short document that includes activation procedures, notification, team membership, responsibilities, and sample task lists.

CONTINUITY PROGRAM WORKSHEETS

The role of the worksheets is to assist with the continuity planning and data-collection process. Organizations may choose to use the Continuity Program worksheets as is, modify them, or create their own planning and data collection tools. The worksheets are intended to assist you with organizing information required for creating a continuity plan. The completed worksheets can be an attachment to the agency's Continuity Plan to document the data collected during the plan development process.

The worksheets represent the **minimum** information required for continuity planning purposes. The full set of worksheets and other planning tools are included in the program materials found on the Cal OES website at http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning.

STATE AGENCY CONTINUITY PLANNING MAINTENANCE PROGRAM INITIATIVE

The planning resources and tools included in this program can be used whether an organization is starting from the very beginning of the planning process or merely updating plans already in place. However, Executive Order S-04-06 requires that the plans developed or updated by state agencies and departments be consistent with the guidelines promulgated by Cal OES.

Continuity plans and programs are dynamic and require regular updating to reflect any changes in the organization (e.g., staffing, structure, functions, equipment, communications, leadership, and resources). In order to ensure that departments and agencies are maintaining a baseline of capability in all the key planning element areas, a Continuity Plan Evaluation Checklist has been created and included in this Guide (Attachment 3) and the program materials available on the Cal OES website. The Continuity Plan Evaluation Checklist is a self-certification that an agency has developed and is maintaining a continuity plan that reflects the most current state and federal continuity planning standards and best practices. The Checklist documents the organization's Continuity Program and Plan status.

Beginning in 2010, the Continuity Plan Evaluation Checklist is to be completed annually by the agency's continuity planning manager/emergency planner and signed by the director. The Checklist should then be mailed to Cal OES according to the Schedule for Submission of Technology Recovery Plans attached in Appendix 4.

Plan Evaluation Checklists should be mailed to the following address:

Governor's Office of Emergency Services
Planning and Preparedness Division, Disaster Planning
Cal OES Continuity Program Coordinator
3650 Schriever Avenue
Mather, CA 95655
coopcog@caloes.ca.gov

For Additional Information

The *Continuity Planning Guidance (2018)* and other valuable resources are available for download from the Cal OES website at the following address: http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning. As the State Continuity Program continues to evolve, additional development tools and aids will be added to the website.

Questions concerning the Continuity Program can be directed to Jeff Newman at Jeff.Newman@caloes.ca.gov, or by phone at 916-845-8829. Questions can also be mailed to the address indicated above.

ATTACHMENTS TO THE CALIFORNIA CONTINUITY PLANNING GUIDANCE AND PLAN TEMPLATE:

Attachment 1 – Executive Order S-04-06

Attachment 2 – Program Plan and Procedures

Attachment 3 – Continuity Plan Evaluation Checklist

Attachment 4 – State Agency/Department Continuity Plan Maintenance Schedule

Attachment 5 – Continuity Planning Program Worksheet Templates

Attachment 6 – Continuity Planning Glossary & Acronyms

ATTACHMENT 1 – EXECUTIVE ORDER S-04-06

OFFICE OF THE GOVERNOR

EXECUTIVE ORDER S-04-06
04/18/2006

WHEREAS, California has successfully responded to earthquakes, floods, fires, freezes, outbreaks of infectious disease, droughts, pestilence, civil unrest, mudslides, chemical spills, and the threat of terrorist action, including 19 major disasters between 1989 and 2006 and more than 1,200 proclaimed States of Emergency between 1950 and 2006 affecting every county in the State; and

WHEREAS, the state government and many local governments, non-profit organizations, and businesses have already taken proactive steps to prepare for disasters in California; and

WHEREAS, California is a recognized leader in emergency management and the federal government has now adopted California's Standardized Emergency Management System as the core of their emergency response system; and

WHEREAS, state and local government agencies must continue to strengthen efforts to prepare for catastrophic disasters; and

WHEREAS, public-private partnerships are essential to preparing for, responding to, and recovering from disasters; and

WHEREAS, more needs to be done to educate Californians about what they can do to be better prepared for the next disaster; and

WHEREAS, the efficient mobilization of federal, private sector, and non-profit resources is critical to effectively prepare for, respond to and recover from disasters.

NOW, THEREFORE, I, ARNOLD SCHWARZENEGGER, Governor of the State of California, by virtue of the powers and authority vested in me by the Constitution and statutes of the State of California do hereby issue this Order to become effective immediately:

1. The Director of the Office of Emergency Services and the Director of the Office of Homeland Security shall periodically, but no less than quarterly, convene a meeting with, among others, the Adjutant General of the California National Guard, the Secretary of Business, Transportation and Housing, the Secretary of Corrections and Rehabilitation, the Secretary of Education, the Secretary of Environmental Protection, the Director of Finance, the Secretary of Food and Agriculture, the Secretary of Health and Human Services, the Secretary of Labor and Workforce Development, the Secretary of Resources, the Secretary of State and Consumer Services, the Secretary of Veterans Affairs, the Director of Forestry and Fire Protection, the Commissioner of the California Highway Patrol, the Director of Water Resources, the State Public Health Officer, the Director of Health Services, the State Veterinarian, the Director of Fish and Game, the Director of Toxic Substances Control, the Chair of the Air Resources Board, and the Director of the Emergency Medical Services Authority.

The Directors shall utilize these meetings to: (a) assess and provide necessary information to the Governor, Legislature, local agencies, and the public on pending emergency conditions that threaten the public health and safety, (b) develop a consolidated set of budget, legislative, and administrative actions, along with identification of additional federal resources required to improve state prevention and response capabilities to deal with pending threats to public health and safety, and (c) assist in the management of emergency preparedness, response, recovery and mitigation efforts.

2. An Emergency Partnership Advisory Workgroup (Workgroup) shall be convened by the Director of the Office of Emergency Services. The Workgroup shall assist the Director in securing agreements between affected state agencies and non-profit and private sector resources necessary to respond to threatened or actual emergency situations. The Workgroup members shall be selected by the Director of the Office of Emergency Services and be composed of at least seven non-profit and private sector representatives who are involved in preparing their communities for disasters.

The Workgroup's duties shall include: (a) providing advice to the Director of the Office of Emergency Services on appropriate agreements to provide for quick access to emergency supplies and services in order to minimize the need to stockpile such supplies during normal times, (b) providing advice to the Director of the Office of Emergency Services on logistic measures needed to quickly deliver needed supplies and services to affected areas, (c) providing advice to the Director of the Office of Emergency Services on methods to utilize non-profit and private sector capabilities to increase the surge capacity of state and local agencies responding to emergencies, (d) promoting the integration of the non-profit and private sectors into the emergency services system so that people can be better informed and prepared for emergencies, and (e) encouraging systems that aid business and economic recovery after a disaster.

3. By June 1, 2006, the Director of the Office of Emergency Services shall promulgate model Continuity of Operations/Continuity of Government plans and guidelines to be provided to state and local agencies in order to assist them in ensuring the continuity of government and ensuring the provision of essential services to the public during and after a catastrophic event.

4. By September 30, 2006, all Executive Branch agencies shall update their Continuity of Operations/Continuity of Government plans consistent with the guidelines and submit them to the Cabinet Secretary and the Director of the Office of Emergency Services and include procedures for the testing and exercising of these plans.

5. All Executive Branch agencies, through the coordination of the Director of the Office of Emergency Services, shall increase their efforts for the "Be Smart, Be Prepared, Be Responsible" public awareness campaign to ensure that all individuals, families and schools have the information they need to prepare themselves until government assistance can arrive during and subsequent to disasters.

6. The Secretary of Health and Human Services shall convene a working group of representatives from hospitals and health facilities throughout California to: (a) develop by June 1, 2006, a recommended program to ensure local health facility surge capacity plans achieve Federal Health Resources and Services Administration surge capacity benchmarks, and (b) participate in conducting exercises and training to prepare for natural and man-made disasters.

7. The California Service Corps, in cooperation with the Health and Human Services Agency, the Office of Emergency Services, the Office of Homeland Security, and non-profit volunteer organizations, shall ensure the coordination of volunteer activities related to disaster response and recovery, including necessary training, equipment, and transportation provisions.

IT IS FURTHER ORDERED that agencies under my direct executive authority shall cooperate in the implementation of this Order. Other entities of state government, including the University of California, California State University, California Community Colleges, constitutional officers, legislative and judicial branches, and the California Public Utilities Commission, are requested to assist in its implementation.

This Order is not intended to, and does not create any rights or benefits, substantive or procedural, enforceable at law or in equity, against the State of California, its departments, agencies, or other entities, its officers or employees, or any other person.

IN WITNESS WHEREOF I have here unto set my hand and caused the Great Seal of the State of California to be affixed this the eighteenth day of April 2006. /s/ Arnold Schwarzenegger Governor of California.

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ATTACHMENT 2 – PROGRAM PLAN AND PROCEDURES

PROGRAM PLAN AND PROCEDURES

An organization implements an effective continuity program through its related plans and procedures, an effective continuity TT&E program, and an operational capability to support those plans and procedures. A critical part of developing a comprehensive continuity plan is the establishment of planning and procedural objectives and requirements and use of metrics to ensure that an essential function continues during continuity activation, given the criticality and priority of the essential function.

PLANNING STRATEGY: The Planning Team should create an overall continuity strategy that is agreed upon by the Elected Officials or other organizational leadership prior to the development of the detailed continuity plan. This strategy will establish a policy-level framework to guide decisions made later during detailed planning for continuity implementation.
There are several approaches to developing a continuity strategy and each should be considered when developing continuity plans and programs. These may include the more traditional continuity planning where ERG staff perform designated essential functions from a continuity facility, a devolution option, where responsibilities are transferred to both alternate staff as well as continuity facilities, or even a telecommute/virtual office option where ERG or other staff perform essential functions from home or another location. The activation of a continuity plan may also entail the immediate activation of cross-organizational support agreements regardless of the broad continuity strategy that is adopted.

PLANNING OBJECTIVES: Continuity planning is an effort to document the existence of, and ensure the capability to continue, organization essential functions during a wide range of potential emergencies. The objectives of a continuity of operations plan include:

1. Ensuring that an organization can perform its essential functions under all conditions.
2. Reducing the loss of life and minimizing property damage and loss;
3. Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization's leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office;
4. Reducing or mitigating disruptions to operations;
5. Ensuring there are facilities from which organizations can perform essential functions.
6. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption;
7. Achieving the organization's timely and orderly recovery and reconstitution from an emergency; and
8. Ensuring and validating continuity readiness through a dynamic and integrated continuity TT&E program and operational capability.

CONSIDERATIONS FOR CONTINUITY PLANS AND PROCEDURES

Organizational Considerations		
#	**Consideration**	**Explanation**
1.	Develop and document a continuity plan and its supporting procedures.	The plan and procedures should provide for the continued performance of essential functions under all circumstances and provide for integration with other Government and nongovernment organizations, as appropriate.
2.	The Organization Head should approve and sign the continuity plan, to include significant updates or addendums.	Such as the Secretary, Director, Administrator, or a designee.
3.	Annually review the continuity plan and update, if changes occur.	Document the date of the review and the names of personnel conducting the review.
4.	Incorporate continuity requirements into daily operations.	Ensures seamless and immediate continuation of essential function capabilities.
5.	Annually, all non-HQ organization entities, including subcomponent, regional and field offices, should submit the following documentation to its organization HQ, to provide visibility on continuity efforts at all levels of the organization: a. Certification by the Organization Head or a designee that the component/office maintains a continuity plan and the date of plan signature. **b.** Certification by the Organization Head or a designee that the component/office participates in an annual exercise.	a. Organizations may use regional or overarching continuity/devolution plans that integrate the continuity capabilities of multiple subordinate organizations. b. The exercise should incorporate the deliberate and preplanned movement of continuity personnel to an alternate site and the date of last exercise.
6.	Maintain a record of the date of continuity plan updates and last continuity exercise after action report for the HQ and all components.	Part of the annual continuity program and Multi-Year TT&E strategy. Identifies an organizations level of readiness and gaps/ improvements that need to be addressed.

Continuity Plan Considerations		
#	**Consideration**	**Explanation**
1.	Address the key elements of continuity.	Includes essential functions, orders of succession, delegations of authority, continuity facilities, continuity communications, essential records, human resources, TT&E, devolution, and reconstitution; and address the requirements associated with each element as found in this guidance document.
2.	Address the supporting elements of continuity.	Includes program plans and procedures; risk management; budgeting and acquisition; and operational phases and implementation; and address the requirements associated with each element as found in this guidance document.
3.	Address the four phases of continuity.	(1) readiness and preparedness, (2) activation, (3) continuity operations, and (4) reconstitution and recovery.
4.	Provide a process for determining the organization's readiness posture and for decision-making regarding its corresponding actions to increase readiness postures.	Organizations should consider State, Federal, neighboring jurisdiction, and private sector continuity preparedness or activation directions in their internal procedures for executing changes to readiness levels.
5.	Provide a process or methodology that ensures plan implementation.	Include a decision matrix for continuity plan activation with warning during duty and non-duty hours and without warning during duty and non-duty hours.
6.	Establish and maintain appropriate relocation procedures and instructions for how ERG members will relocate to alternate sites.	
7.	Establish and maintain appropriate procedures and instructions on devolving functions to the ERG at a devolution site.	
8.	Detail the transition of responsibilities to the deployed ERG.	
9.	Provide a process for attaining operational capability at all continuity facilities within the minimal acceptable period for essential function disruption.	
10.	Provide a process or methodology ensuring that sustained operations can be maintained for up to 30 days or until normal operations resume.	Includes planning for the challenges posed by extended events.

11.	Identify and establish procedures to ensure essential resources, facilities, and records are safeguarded, available, and accessible to support continuity operations.	Essential resources should include ERG members, equipment, systems, infrastructures, supplies, and other assets required to perform an organization's essential functions.

To determine whether an organizations continuity program elements are addressed in the Continuity Plan (or other related planning documents), Cal OES provides a Continuity Plan Evaluation Checklist to measure organizational continuity readiness against the Governor's Executive Order S-04-06, this guidance document, and PPD-8/NSPD-51/HSPD-20 and CGC1. Cal OES has several continuity planning templates for free download and available to any organization wanting to improve their readiness posture. Continuity planning templates may be found at http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning

INTEGRATION OF CONTINUITY AND INCIDENT MANAGEMENT

Integration of continuity planning with incident management planning and operations include responsibilities delineated in the Standardized Emergency Management System (SEMS) and National Response Framework (NRF) and is linked to an organization's ability to conduct its Mission Essential Functions (MEFs). This guidance document does not delineate new procedures for incident management activities other than already established protocols; however this guidance document does emphasize that organizations with incident management responsibilities must incorporate requirements to perform these functions into continuity planning. Integration is especially key for interagency coordination groups that monitor or convene during an incident. The lead agency for these interagency groups must develop and share continuity plans to ensure the group's continued capability regardless of circumstance.

The California Governor's Office of Emergency Services through the California State Warning Center (CSWC) makes the appropriate notifications to California's executive branch agencies and departments, which shall comply with the requirements and assigned responsibilities documented in the Continuity of Government Readiness Conditions (COGCON) system.

For the state executive branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the Sacramento Capital Region. The COGCON system is a means to establish, measure, and report the readiness of California's executive branch continuity programs independent of other state or federal government readiness systems. Four COGCON levels provide for an incremental increase in and deployment of people and resources to enhance staffing, survivability, responsiveness, and availability of assets for immediate support to leadership. The designated COGCON level is based on the current threat and/or risk to the State Government.

- COGCON 4 is the day-to-day readiness level with State executive branch government employees at their normal work locations.
- COGCON 3 requires State executive branch departments and agencies to "warm up" their alternate sites and capabilities, which includes testing communications and IT systems and ensuring alternate facilities are prepared to receive continuity staffs.
- COGCON 2 calls for a deployment of up to 50-75% of continuity staffs to relocate from their normal work sites to alternate locations, establish their ability to conduct operations, and prepare to perform their organization's essential functions in the event of a catastrophic emergency.

- COGCON 1 calls for a full deployment of designated leadership and continuity staffs to perform the organization's essential functions from alternate facilities either as a result of, or in preparation for, a catastrophic emergency.

CONTINUITY OF OPERATIONS DECISION MATRIX

Continuity Plan activation is a scenario-driven process that allows 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 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 a simple decision matrix to assist in the decision to activate the Continuity Plan.

Decision Matrix in flow chart form that explains the organizational process to activate their Continuity Plan or trigger other actions. The following attachment provides an example to follow on how to display a decision matrix within a Continuity Plan. Most plans have written procedures following the matrix.

OPERATIONAL CHECKLISTS (Attachment 3)

The attached section outlines a standardized continuity operational checklist for use during a continuity event. This checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at current site or an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.

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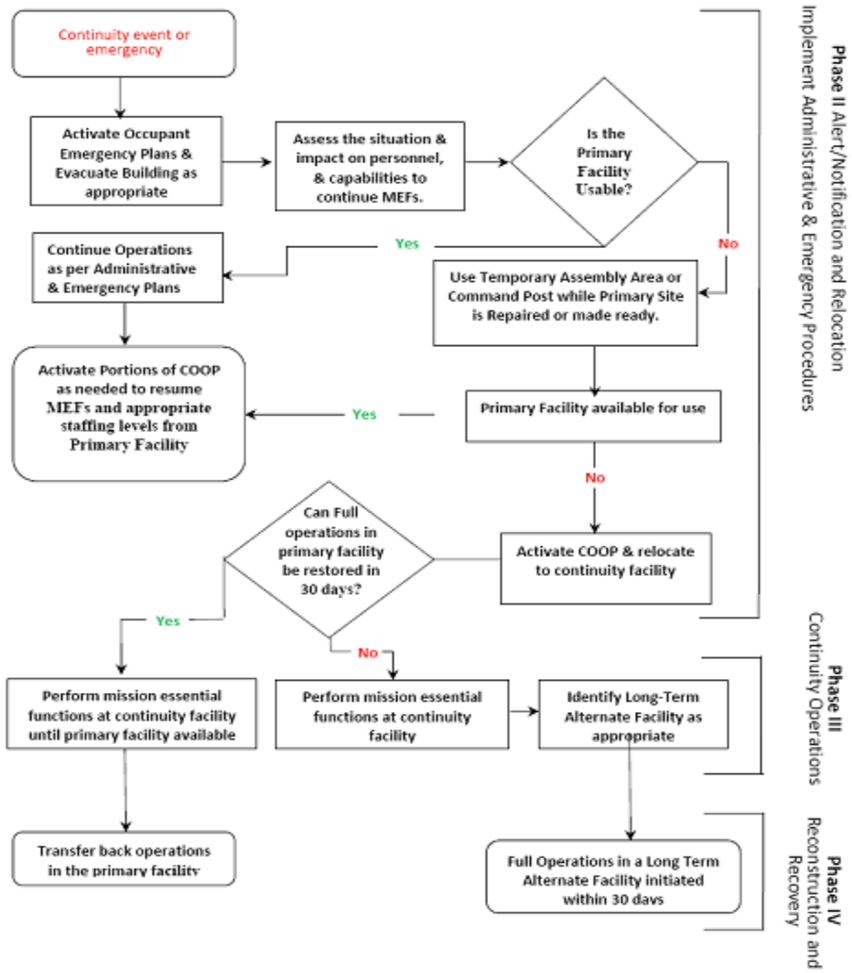
Readiness Level	APPENDIX 2 – COGCON MATRIX for State Agency / Department Continuity Capability					
	Operations	**Staffing Levels**	**Time to Transition to Successive Stages**	**Communications**	**Succession**	**Impact on Agencies & Departments**
COGCON 4	☐ Continue to perform headquarters business functions at normal location(s) ☐ Maintain alternate operating facility(ies) in accordance with agency continuity plans to ensure readiness for activation at all times ☐ Conduct training and exercise activities in accordance with agency continuity and Test, Training, and Exercise (TTE) plan(s) to ensure personnel readiness	☐ No staffing required at alternate operating facility(ies) ☐ Maintain normal delegations and devolution of authority to ensure performance of essential functions to respond to a no-notice event	☐ Continuity plan is fully operational within12 hours	☐ Test all internal agency communications capabilities between normal operating locations (HQ and other) and alternate operating facility(ies) no less than quarterly ☐ Test all communications capabilities at all alternate operating facility(ies) with applicable interagency partners no less than quarterly	☐ No special measures to protect or track the location of agency leadership and successors ☐ Ensure delegations of authority to lead departments and agencies are in place for senior personnel located outside headquarters of normal business locations	☐ No additional requirements
COGCON 3	☐ Continue to perform headquarters business functions at normal location(s)Maintain alternate operating facility(ies)in accordance with agency continuity plans to ensure readiness for activation at all times ☐ Conduct additional training activities to increase personnel readiness (e.g. Team tabletops, review recall lists, review plans and procedures)	☐ No staffing required at alternate operating facility(ies) unless necessary to meet 8-hour operational requirement. ☐ Maintain normal delegations and devolution of authority to ensure performance of essential functions to respond to a no-notice event	☐ Continuity plan is fully operational within 8 hours ☐ 4 hours to COGCON 2	☐ Conduct at least one additional internal agency communications test between normal operating locations (HQ and other) and alternate operating facility(ies) within 24 hours	☐ Track the locations of agency leaders and their successors on daily basis	☐ Additional staff time for communications testing and tracking agency leadership ☐ Potential shorter response times for basic staffing of alternate facility(ies)
COGCON 2	☐ Continue to perform headquarters business functions at normal location(s) ☐ Monitor/track major HQ activities ☐ Maintain alternate operating facility(ies) in accordance with agency continuity plans to ensure readiness for activation at all times ☐ Take appropriate steps to ensure alternate operating facility(ies) can be activated with 4 hours' notice	☐ Deploy sufficient staff to alternate operating facility(ies) to allow activation with 4 hours' notice	☐ Continuity plan is fully operational within 4 hours ☐ 4 hours to COGCON 1	☐ Conduct internal agency communications tests between normal operating locations (HQ and other) and alternate operating facility(ies) within 24 hours and repeat not less than weekly ☐ Conduct communications tests at all alternate operating facility(ies) with applicable interagency partners within 48 hours and repeat not less than weekly	☐ Track the locations of agency leaders and their successors on daily basis ☐ Ensure at least one headquarters level agency successor is outside headquarters of normal business locations	☐ Potential increased travel requirements for agency leadership ☐ Some staff is required to work from alternate location(s) ☐ Potential shorter response times for additional staffing of alternate facility(ies)
COGCON 1	☐ Continue to perform headquarters business functions at normal location(s) as appropriate ☐ Monitor/track major HQ activities ☐ Perform day-to-day functions at alternate facility(ies) as appropriate ☐ Take appropriate steps to ensure alternate operating facility(ies) can be activated with no notice	☐ Deploy sufficient staffing to alternate operating facility(ies) to perform essential functions with no notice	☐ Agency headquarters continuity plan activated immediately and report operational status within two hours	☐ Test internal agency communications between normal operating locations (HQ and other) and alternate operating facility(ies) daily ☐ Conduct communications tests at all alternate operating facility(ies) with applicable interagency partners daily	☐ Track the locations of agency leaders and their successors on a daily basis ☐ At least one headquarters-level agency successor must be at alternate operating facility(ies)	☐ Some agency leaders work from alternate facility(ies) Significant number of staff are required to work from alternate location(s)

Continuity of Operations Decision Matrix

Phase I – Readiness and Preparedness
Plan Development, Review, Training, Testing, Improving, and Updating



Operational Checklists

Item	Task
Phase II - Activation – Alert/Notification and Relocation	
1	Receive notification of emergency
2	If necessary, conduct evacuation
3	Account for all staff
4	If necessary, contact Emergency Responders (Fire, Police, EMS)
5	Ensure that employee health and safety measures are put into effect
6	Contact Building Maintenance for shutting down utilities to limit further damage
7	Direct and assist emergency personnel as required
8	Notify Executive Management and activate COOP Plan as necessary
9	If necessary, invoke Orders of Succession
10	Initiate notification of all staff including continuity personnel
11	Convene Divisional meeting at assembly area or other pre-determined site.
12	Assemble supporting elements required for re-establishing and performing essential functions at continuity facility location: ▪ Establish over all operational objectives ▪ Prioritize MEFs and set Recovery Time Objectives (RTOs) ▪ Identify critical staffing requirements and health/safety concerns ▪ Identify critical resource requirements ▪ Identify communication concerns - IT & T-Comm.'s Systems and equipment - Required Vital files, records and databases ▪ Discuss the Public and Employee information message
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location
14	Notify all support agencies and critical contacts of the activation.
15	Prepare designated communications and other equipment for relocation
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated
17	Make computer connectivity and phone line transfers to designated alternate facility
18	Ensure go-kits are complete and ready for transfer
19	Continuity personnel begin movement to continuity facility
20	Evaluate the safety of the selected continuity facility prior to deployment
21	Develop and deliver status report
22	Notify remaining staff and appropriate agencies of movement to continuity location

Item	Task
Phase III - Continuity Operations	
23	Notify other State and Federal agencies, and surrounding jurisdictions as appropriate that operations have shifted to a continuity facility.
24	Organize staff and account for non-continuity personnel
25	Develop shift rotations as required
26	Determine which mission essential functions have been affected
27	Develop and deliver status report
28	Prioritize remaining essential functions for restoration
29	Track status and restoration efforts of all essential functions
30	Administrative actions to assemble: ▪ Onsite telephone ▪ E-mail and telephone directory ▪ Workforce office plan
31	Occupy workspace: ▪ Stow gear and equipment ▪ Vital files, records and databases ▪ Test telephone, fax, e-mail, radio and other communications ▪ Establish communications with essential support and office elements
32	Ensure all essential records, systems and equipment are available at alternate facility location
33	Coordinate procurement of additional equipment, as required
Reconstitution and Recovery	
34	Appoint reconstitution team
35	Survey condition of original facility and determine feasibility of salvaging, restoring or returning to original facility when emergency subsides or is terminated
36	Develop long term reconstitution and recovery plans should original facility cannot be re-occupied.
37	Inventory and salvage useable equipment, materials, records and supplies from damaged facility, if possible
38	Evaluate original or new facility to assure that all critical services and support are available and operational.
39	Conduct transition of mission essential functions, personnel and equipment from continuity facility back to designated facility
40	Conduct transition of remaining essential function, personnel and equipment from continuity facility back to designated facility
41	Schedule and conduct initial debrief with staff and identify key issues, lessons learned and best practices.

ATTACHMENT 3 – CONTINUITY PLAN EVALUATION CHECKLIST

Continuity Plan Evaluation Checklist

Agency/Department Name:

Instructions: This evaluation checklist should be used to determine whether all the continuity program elements are addressed in the departmental Continuity Plan (or other related planning documents). Review the planning elements on the left and record in the right column the plan name (if content is addressed in another plan), date of plan, and page references for where the information can be found. The Secretary and/or Director and Continuity Planning Coordinator will then certify with their signatures at the end of the checklist that the organization has completed an evaluation of their Continuity Plan and documented its status as it relates to the requirements of the program.

Planning Element **Program Plans and Procedures (Program Management)** [Capability Description: An effective continuity program is implemented through its related continuity plans and procedures and an operational capability to support those plans and procedures. Continuity planning is an effort to document the existence of, and ensure the capability to continue essential functions during a wide range of potential emergencies.] Reference: EMAP Standards 4.6	**Yes – Element is Addressed in Plan** [Reference page number and name of plan where the info can be found]	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Procedures for employee advisories, alerts and Continuity Plan activation are included. Comments:			
2. Provisions for personnel accountability throughout the duration of the emergency are included. Comments:			
3. Planned Maintenance - Procedures exist for an annual review of this agency Continuity Plan and the ability to make any needed revisions. Comments: EMAP 4.6.2.7			
4. Includes a risk or hazard analysis to identify threats to facilities and operations. Comments:			
5. Includes signatories, concept of operations plan/section that identified activation criteria, responsibilities, and command and control during Continuity Plan activation, operations and reconstitution/recovery. Comments: EMAP 4.6.2.6			

6. Established critical staffing/readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies. Comments:			
7. Continuity Plans have been developed for all stakeholders/departments that support organizational essential business functions. Comments: EMAP 4.6.5 (7)			
Essential Functions [Capability Description: Essential Functions are those organizational functions that must be continued under any and all circumstances. These functions are derived from the organizations overall functions and missions and, when identified, should be prioritized to ensure the most critical functions are appropriately emphasized. Essential Functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.]	**Yes – Element is Addressed in Plan** [Reference page number and name of plan where the info can be found]	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Executive Summary – Initial narrative that summarizes all of the essential elements within Plan. Comments:			
2. Purpose, Scope, Goals, Objectives and Authorities clearly defined. Comments: EMAP 4.6.2.1 & 4.6.2.2			
3. Planning – Situation, planning assumptions are linked to essential functions that are listed, prioritized and document in the Plan. Comments: EMAP 4.6.2.3			
4. Functional roles and responsibilities for internal and external organizations and positions supporting essential functions are identified. Comments:			
5. Logistical support and resource requirements to re-establish and sustain essential function are identified. Comments:			
6. Critical data and data systems for each essential function are identified. Comments:			

7. Support activities are addressed as part of essential functions. Comments:			
8. Resumption or Recovery plans exist for essential functions to ensure operational capability within 12 hours. Comments:			
<u>Orders of Succession/Delegation of Authority</u> [Capability Description: Each organizational element is required to establish, promulgate, and maintain lines of succession to key positions. These lines of succession should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations. Delegations of authority specify who is authorized to act on behalf of the Agency head or other officials for specified purposes. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when those channels have been re-established. Delegations of authority at the headquarters, regional, field, satellite, and other levels and agency locations, as appropriate, are included in the applicable continuity implementation plans.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Order of Succession is established for the agency's highest position of authority. Comments: EMAP 4.6.5 (1)			
2. Order of succession is established for the other key leadership positions that are linked to critical business functions. Comments: EMAP 4.6.5 (1)			
3. Policy for the delegation of emergency authorities is established and described. (Limitations for delegated authorities are listed.) Comments:			
4. Order of succession are included in continuity plans. Comments: EMAP 4.6.5 (1)			
5. Rosters of trained personnel with the authority to perform essential functions and activities are maintained. Comments:			
6. Rules and procedures for implementing order of succession are established. Comments:			
7. Rules and procedures for order of succession include initiating conditions, notification methods and terminating conditions. Comments:			

Continuity Facilities [Capability Description: Continuity Facilities are locations where leadership and staff may operate during a continuity event. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, endurable operations. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Immediate capability exists to operate under potential threat conditions including HazMat/WMD threats. Comments:			
2. Sufficient space and equipment to sustain the relocating organization are identified and included in relocation planning. Comments: EMAP 4.6.5 (8)			
3. Pre-positioned resources are identified and where possible contingency contracts are established or prepared with appropriate resource providers. Comments:			
4. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers and the public. Comments:			
5. Alternate facilities provide for logistical support, services and infrastructure systems (e.g., water, electrical power, heating and air conditioning.) Comments: EMAP 4.6.5 (8)			
6. Plan contains provisions to sustain operations for a period of up to 30 days. Comments:			
7. Plan addresses considerations for the health and safety of relocated employees. Comments:			
8. Plan addresses alternate facility operating capabilities, physical security and access controls. Comments: EMAP 4.6.5 (8)			
Continuity Communications/IT Systems Recovery [Capability Description: The success of continuity programs is dependent on the availability to provide intra- and interagency connectivity. An agency's ability to execute its essential functions at its HQ and at its alternate or other continuity facilities depends upon the availability of effective communications systems. If this section is already	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**

addressed in the organization's Technology Recovery Plan (formerly known as Disaster Recovery Plan), indicate this in the column on the right.]	**can be found]**		
1. Procedures or plans exist for communications and IT Systems (TRP) linked to the Continuity Plan, contingency staff, management and other organizational components are identified. Comments: EMAP 4.6.5 (2), (4), (5), (6)			
2. Procedures or plans exist for communications; IT Systems that support essential business functions are identified. Comments: EMAP 4.6.5 (5)			
3. Procedures or plans exist for access to data and systems necessary to conduct essential activities and functions are identified. Comments:			
4. Procedures for protection of critical applications, communications, and resources are identified. Comments:			
5. Critical business systems (processes, applications, functions and equipment) prioritized based on Recovery Time Objectives (RTOs) is identified. Comments: EMAP 4.6.5 (6)			
Human Resources [Capability Description: In a continuity event, continuity personnel and other special categories of employees will be activated by an agency to perform their assigned response duties. An agency must ensure that its human capital strategies for all personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are regularly reviewed and updated, as appropriate.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Includes procedures for the dismissal of employees and/or closure of the facility following an emergency impacting the facility. Comments:			
2. Designates Continuity staff and other special categories of employees and their roles and responsibilities. Comments:			
3. Includes procedures for non-Continuity staff and non-special categories of employees are identified (pay flexibilities, benefit issues). Comments:			
4. Includes agency guidelines for communicating to/with employees following an emergency. Comments:			

Essential Records Management [Capability Description: Each department and agency continuity program, plan, and procedures should account for the identification and protection of those essential records and mission critical systems and databases that are necessary to perform essential functions and reconstitute normal operations after the emergency ceases. Agencies should pre-position, and update on a regular basis, duplicate records and databases or back-up electronic media. The agency's Essential Records Management Program must be reviewed periodically and updated accordingly. If this section is already addressed in the organization's Disaster Recovery Plan (formerly known as Operational Recovery Plan), indicate this in the column on the right.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Essential emergency operating plans, including line of succession; delegations of emergency authorities; staffing assignments; policy or procedural records, are identified and protected. Comments: EMAP 4.6.5 (4)			
2. Essential legal/financial records, such as accounts receivable; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, insurance records and property management and inventory records, are identified and protected. Comments:			
3. Provisions for classified or sensitive records/ databases are included. Comments: EMAP 4.6.5 (4)			
4. Procedures for data backup and restoration are included. Comments:			
5. Location and accessibility to vital records are identified. Comments:			
Tests, Training, and Exercises [Capability Description: An effective Test, Training and Exercise Program is necessary to assist agencies to prepare and validate their organization's continuity capabilities and program. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event. Tests and exercises serve to assess, 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.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**

1. Plans include annual individual and team training of agency Continuity emergency personnel. Comments:			
2. Plans include annual agency testing and exercising of Continuity plans and procedures. Comments:			
3. Plans include quarterly testing of emergency alert and notification procedures. Comments:			
4. Plans include refresher orientation for Continuity staff. Comments:			
5. Plans include inter-agency exercising of Continuity plans where applicable and feasible. Comments:			
Devolution of Control and Direction [Capability Description: Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions from either the agency's primary or alternate facilities. Devolution planning also addresses notice and no notice events. A continuity plan's devolution option should be developed so that it addresses how an agency will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the agency's alternate facility is not available.]	**Yes – Element is Addressed in Plan** **[Reference page number and name of plan where the info can be found]**	**No – Element Not Completely Addressed in Plan**	**Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps**
1. Identifies the likely triggers that would initiate or activate the devolution option. Comments:			
2. Specifies how and when direction and control of agency operations will be transferred to the devolution site. Comments:			
3. Lists necessary resources (people, equipment, and materials) to facilitate the ability to perform essential functions at the devolution site. Comments:			
4. Establishes capabilities to restore or reconstitute agency authorities to their pre-event status upon termination of devolution. Comments:			
Reconstitution/Recovery Operations [Capability Description: Agencies must identify and	**Yes – Element is Addressed in**	**No – Element Not Completely Addressed in**	**Corrective Actions (If Answered No) – Strategy for**

outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.]	**Plan** **[Reference page number and name of plan where the info can be found]**	**Plan**	**Addressing Planning Gaps**
1. Provides an operational plan to transition from Continuity status to an efficient normal operations status once a threat or disruption has passed. Comments:			
2. Includes coordinated and pre-planned options for reconstitution of the agency regardless of the level of disruption causing implementation of the Continuity Plan. (Options to include movement from the devolution location back to headquarters or a new operating site if necessary.) Comments:			
3. Outlines procedures necessary to affect a smooth transition from the relocation site, whether standard Continuity or devolution scenario, to a new or restored headquarters. Comments:			

I hereby certify that:

1. A Continuity Planning Program exists (which includes all the department's continuity planning documents, processes, and procedures) and that this program contains the key elements as listed in the checklist above;
2. A program is in place to ensure the confidentiality of the sensitive material in the documents and only persons authorized because of their operational functions will have access to sensitive portions of the document; and,
3. A maintenance cycle and protocol has been established to address any gaps identified on the checklist above and, per Executive Order S-04-06, to ensure the regular update of the Continuity Plan and related documents.

CONTINUITY PLAN COORDINATOR

Date: Phone Number:

AGENCY/DEPARTMENT DIRECTOR

Date: Phone Number:

AGENCY NAME

DEPARTMENT NAME

Send completed checklist to:

Cal OES, Preparedness Division, Disaster Planning
Cal OES Continuity Program Coordinator
3650 Schriever Avenue
Mather, CA 95655
coopcog@caloes.ca.gov

ATTACHMENT 4 – CONTINUITY PLANNING MAINTENANCE SCHEDULE

State Policy, pursuant to Executive Order S-04-06 requires each agency to annually update their Continuity Plan. The Evaluation Checklist is a tool used by Cal OES to ensure that the continuous performance of the State Essential Functions (SEFs) are maintained during an emergency. Through this process, California is able to continue vital governmental services and general operations in an all hazard environment.

Below outlines State Agency/Departments evaluation checklist submission dates. The Continuity Plan evaluation checklist allows organizations to self-assess their Continuity Plan and Program to ensure preparedness levels are being maintained or where improvements are needed. (Updates to this list are maintained by Cal OES Statewide Continuity Programs).

Org Code	Acronym	State Agency	Submission Date
7910	OAL	Administrative Law, Office of	15-Apr
3105	CAAM	African American Museum, California	15-Oct
4180	CCOA	Aging, California Commission on	15-Jul
4170	CDA	Aging, Department of	15-Jul
7300	ALRB	Agricultural Labor Relations Board	15-Jul
3900	ARB	Air Resources Board	15-Jan
2120	ABCAPPEALSBD	Alcoholic Beverage Control Appeals Board	15-Oct
2100	ABC	Alcoholic Beverage Control, Department of	15-Oct
8260	CAC	Arts Council, California	15-Jan
8855	AUDITOR	Auditor, California State	15-Oct
3835	BHC	Baldwin Hills Conservancy	15-Jan
1701	DBO	Business Oversight, Department of	15-Oct
0515	BCSH	Business, Consumer Services, and Housing Agency, Secretary for	15-Oct
5175	DCSS	Child Support Services, California Department of	15-Jul
4250	CCFC	Children and Families Commission, California	15-Jul
8385	CCCC	Citizens' Compensation Commission, California	15-Jan
3850	CVMC	Coachella Valley Mountains Conservancy	15-Jan
3720	COASTAL	Coastal Commission, California	15-Jan
3760	SCC	Coastal Conservancy, California State	15-Jan
3460	CRB	Colorado River Board of California	15-Jan

Org Code	Acronym	State Agency	Submission Date
4700	CSD	Community Services and Development, California Department of	15-Jul
8420	SCIF	Compensation Insurance Fund, State	15-Oct
3340	CCC	Conservation Corps, California	15-Jan
3480	DOC	Conservation, Department of	15-Jan
1111	DCA	Consumer Affairs, Department of (Bureaus, Programs, Divisions)	15-Oct
1110	DCA	Consumer Affairs, Department of (Regulatory Boards)	15-Oct
0840	SCO	Controller's Office, State	15-Apr
0000	CCHCS	Correctional Health Care Services, California	15-Apr
5225	CDCR	Corrections and Rehabilitation, California Department of	15-Apr
3840	DELTA	Delta Protection Commission	15-Jan
3885	DELTACOUNCIL	Delta Stewardship Council	15-Jan
4100	SCDD	Developmental Disabilities, State Council on	15-Apr
4300	DDS	Developmental Services, Department of	15-Jul
8790	CCDA	Disability Access, California Commission of	15-Jan
6125	EAAP	Education Audit Appeals Panel	15-Jul
6110	CDE	Education, California Department of	15-Jul
4120	EMSA	Emergency Medical Services Authority	15-Jul
0690	CalOES	Emergency Services, California Office of	15-Apr
7100	EDD	Employment Development Department	15-Jul
7100-001	ETP	Employment Training Panel	15-Jul
3360	ENERGY	Energy Commission, California	15-Jan
3980	OEHHA	Environmental Health Hazard Assessment, Office of	15-Jan
0555	CalEPA	Environmental Protection Agency, Secretary for California	15-Jan
0860	BOE	Equalization, State Board of	15-Apr
8560	CALEXPO	Exposition and State Fair, California	15-Jan

Org Code	Acronym	State Agency	Submission Date
1700	DFEH	Fair Employment and Housing, Department of	15-Jan
8620	FPPC	Fair Political Practices Commission	15-Apr
8860	DOF	Finance, Department of	15-Apr
8880	FISCAL	Financial Information Systems for California	15-Apr
3600	CDFW	Fish and Wildlife, California Department of	15-Jan
8570	CDFA	Food and Agriculture, California Department of	15-Oct
3540	CALFIRE	Forestry and Fire Protection, California Department of	15-Jan
7730	FTB	Franchise Tax Board	15-Apr
0855	CGCC	Gambling Control Commission, California	15-Oct
7760	DGS	General Services, Department of	15-Jan
500	GOV	Office of the Governor	15-Oct
509	GO-Biz	Office of Business & Economic Development	15-Oct
0511	CalGOA	Government Operations Agency, California	15-Jul
0530	CHHS	Health and Human Services Agency, Secretary for California	15-Jul
4800	HBEX	Health Benefit Exchange, California	15-Jul
4260	DHCS	Health Care Services, Department of	15-Jul
2665	HSR	High Speed Rail Authority	15-Oct
2720	CHP	Highway Patrol, Department of the California	15-Apr
1750	CHRB	Horse Racing Board, California	15-Oct
2240	HCD	Housing and Community Development, Department of	15-Oct
2245	CalHFA	Housing Finance Agency, California	15-Oct
7501	CalHR	Human Resources, Department of	15-Jan
5170	SILC	Independent Living Council, State	15-Jul
7350	DIR	Industrial Relations, Department of	15-Oct
0552	OIG	Inspector General, Office of the	15-Apr
0845	CDI	Insurance, Department of	15-Apr
0820	DOJ	Justice, Department of	15-Apr
0559	LWDA	Labor and Workforce Development Agency, Secretary for	15-Jul

Org Code	Acronym	State Agency	Submission Date
3560	SLC	Lands Commission, State	15-Jan
8830	CLRC	Law Revision Commission, California	15-Apr
6120	CSL	Library, California State	15-Jan
0750	LTG	Lieutenant Governor, Office of the	15-Oct
8780	LHC	Little Hoover Commission	15-Oct
0850	CALOTTERY	Lottery Commission, California State	15-Oct
4150	DMHC	Managed Health Care, Department of	15-Oct
4560	MHSOAC	Mental Health Services Oversight & Accountability (CHHS)	
8940	CALGUARD	Military Department, California	15-Apr
2740	DMV	Motor Vehicles, Department of	15-Oct
3780	NAHC	Native American Heritage Commission	15-Jan
0540	RESOURCES	Natural Resources Agency, Secretary for	15-Jan
4000	OPA	Office of the Patient Advocate	15-Jul
2700	OTS	Office of Traffic Safety (CalSTA)	15-Oct
3790	PARKS	Parks and Recreation, Department of	15-Jan
8120	POST	Peace Officer Standards and Training, Commission on	15-Apr
7503	SPB	Personnel Board, State	15-Jan
3930	CDPR	Pesticide Regulation, California Department of	15-Oct
2670	BPOC	Pilot Commissioners for the Bays of San Francisco, San Pablo, and Suisun, Board of	15-Oct
0650	OPR	Planning and Research, Office of	15-Jan
5420	CalPIA	Prison Industry Authority, California	15-Apr
8140	OSPD	Public Defender, Office of the State	15-Apr
7900	PERS	Public Employees' Retirement System	15-Jan
7320	PERB	Public Employment Relations Board	15-Apr
4265	CDPH	Public Health, California Department of	15-Jul
8660	CPUC	Public Utilities Commission, California	15-Jan
5160	DOR	Rehabilitation, Department of	15-Jul
3970	CALRECYCLE	Resources Recycling and Recovery, California Department	15-Jan

Org Code	Acronym	State Agency	Submission Date
3875	DELTACONSERVANCY	Sacramento-San Joaquin Delta Conservancy	15-Jan
3845	SDRC	San Diego River Conservancy	15-Jan
3820	BCDC	San Francisco Bay Conservation and Development Commission	15-Jan
3825	RMC	San Gabriel and Lower Los Angeles Rivers and Mountains Conservancy	15-Jan
3830	CJRC	San Joaquin River Conservancy	15-Jan
3810	SMMC	Santa Monica Mountains Conservancy	15-Jan
3100	CSC	Science Center, California	15-Jan
0890	SOS	Secretary of State	15-Oct
1690	SEISMIC	Seismic Safety Commission	15-Jan
4185	CSL	Senior Legislature (CHHS)	
3855	SIERRANEVADA	Sierra Nevada Conservancy	15-Jan
5180	CDSS	Social Services, California Department of	15-Jul
5227	BSCC	State and Community Corrections, Board of	15-Apr
4440	DSH	State Hospitals, Department of	15-Jul
8885	CSM	State Mandates, Commission on	15-Oct
4140	OSHPD	Statewide Health Planning and Development, Office of	15-Jul
8820	WOMEN	Status of Women and Girls, Commission on the	15-Jan
6980	CSAC	Student Aid Commission, California	15-Oct
6255	CSSSA	Summer School for the Arts, California State	15-Jul
0531	OSI	System Integration, Office of	15-Jul
3125	TAHOE	Tahoe Conservancy, California	15-Jan
3970	TRPA	Tahoe Regional Planning Agency	15-Jan
6360	CTC	Teacher Credentialing, Commission on	15-Jul
7920	CalSTRS	Teachers' Retirement System, California State	15-Jan
7502	DOIT	Technology, Department of	15-Apr
3960	DTSC	Toxic Substances Control, Department of	15-Jan
0521	CalSTA	Transportation Agency, Secretary for California State	15-Oct

Org Code	Acronym	State Agency	Submission Date
2600	CATC	Transportation Commission, California	15-Oct
2660	CALTRANS	Transportation, California Department of	15-Oct
0950	STO	Treasurer's Office, State	15-Apr
7100-022	CUIAB	Unemployment Insurance Appeals Board, California	15-Jul
8950	CALVET	Veterans Affairs, California Department of	15-Jul
7870	VCGCB	Victim Compensation and Government Claims Board, California	15-Apr
3940	SWRCB	Water Resources Control Board, State	15-Jan
3860	DWR	Water Resources, Department of	15-Jan
3640	WCB	Wildlife Conservation Board	15-Jan
7120	CWIB	Workforce Investment Board, California	15-Jul

Last Updated: Monday, March, January 2018

ATTACHMENT 5 – CONTINUITY PLANNING PROGRAM WORKSHEET TEMPLATES

Worksheet Templates

Worksheet #	***Worksheet Name***
1	Essential Functions
1a	Supplement to Worksheet 1 – Essential Functions Process Details
2	Essential Functions Questionnaire
3	Resource Requirements for Essential Functions
4	Specific Threat Impact Assessment
5	Preliminary Vulnerability Assessment
6	Recovery Strategies
7	Minimum Facility Requirements
8	Alternate Worksite Options
9	Interoperable Communications Systems
10	Key Personnel
11	Essential records & Databases
12	Mission Critical Systems & Equipment
13	Vendors & Supporting Agencies
14	Key Positions & Lines of Succession
15	Delegations of Authority
16	Critical Activity Recovery Procedures

WORKSHEET 1: ESSENTIAL FUNCTIONS

The information collected in this worksheet should be used to determine the organization's "Essential Functions," and the underlying activities and tasks that support these Essential Functions.

Step 1: Identify the organization's operating departments, divisions, or business units in Column 1.

Step 2: For each operating unit, identify ALL organization functions, and list them in Column 2.

Step 3: For each organization function, determine the underlying activities and tasks that are conducted as a result of this function. List these activities/tasks in Column 3.

Step 4: Determine whether the organization function listed in Column 2 is "essential," and must be included in the organization's Continuity Plan. In order to determine whether the function is essential: (i) review the organization's mission statement; or (ii) using Worksheet 2, assess the impact of the overall loss of this function on the agency; or (iii) using Worksheet 2, determine whether any of the activities/tasks underlying this function are critical, thereby making the overall function "essential." Indicate whether the function is essential in column 4.

Step 5: Determine the level of priority and Recovery Time Objective (RTO) for any function that is determined to be essential and note it in Column 5.

Column 1	Column 2	Column 3	Column 4	Column 5
Department/Division/ Business Unit	Organization Function	Activities and Tasks	Is this function essential?	Assign level of priority for each essential function (A, B, C, D, E)

WORKSHEET 1a: SUPPLEMENT TO WORKSHEET 1 - ESSENTIAL FUNCTIONS PROCESS DETAILS				
•				
Column 1	Column 2	Column 3	Column 4	Column 5
Stage	Brief Name	Process Description Notes	Key Policy, Procedure or Performance Issues	Continuity Process Variation Notes

WORKSHEET 2: ESSENTIAL FUNCTIONS QUESTIONNAIRE

Use this Worksheet to determine which agency functions are "essential," and must be identified on Worksheet 1.

This Worksheet should only be used when it is ***unclear*** whether an organization's function (listed in Worksheet 1) is "essential" vs. "non-essential." *It is **not necessary** to complete this Worksheet for a function that is determined to be non-essential due to its inherent nature.*

Step 1: Complete the questions in this Worksheet 2 for EACH organization function listed in Worksheet 1 for which the agency is *unclear* regarding the nature (e.g. "essential" or "non-essential").

Step 2: Based on the information gathered in this Worksheet, determine whether each agency function listed in Worksheet 1 is "essential" or "non-essential", and complete Worksheet 1 accordingly.

Agency Function:

1. Services this function provides:

2. In addition to the services listed in 1 above, would the loss of this function keep the organization from supplying any other services to the public and/or other government agencies?

3. Other organization functions (within this organization) that depend on this function:

4. Other organizations that depend on this function:

5. The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or other laws (specify the area of exposure):

6. Indicate the peak time(s) of year for this function or its associated applications:

   Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec N/A

7. Indicate the peak day(s) of the week for this function or its associated applications:

   Sun Mon Tue Wed Thurs Fri Sat

8. Indicate the peak hour(s) of the day for this function or its associated applications:

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

WORKSHEET 2: ESSENTIAL FUNCTIONS QUESTIONNAIRE CONTINUED

9. Are there any other peak loads or stress considerations?
10. Have you developed or established any backup procedures (manual or otherwise) to be employed to continue agency functions in the event that the associated applications are not available?
11. Specify any other factors that should be considered when evaluating the impact of the loss of the function, such as number of function recipients and criticality of the function to them.
12. Does an analysis of the responses to the above questions indicate that this function should be considered "essential to the agency? If yes, indicate below when such label is appropriate: Always _____ During the following period of the year: _____ During the following time of the month: _____ During the following time of the week: _____ Other time period. Specify: _____

WORKSHEET 3: RESOURCE REQUIREMENTS FOR ESSENTIAL FUNCTIONS

Complete this Worksheet for EACH Essential Function identified on Worksheet 1.

Step 1: List each of the critical activities and tasks that are part of the Essential Function (from Worksheet 1) in Column 1. Critical activities and tasks were listed on Worksheet 1/Column 3.

Step 2: Identify facilities or worksites that serve as a physical location for the essential function or that are required to ensure performance of the essential function.

Step 3: Identify the essential records, databases, equipment, services, modes of communication, facilities or work space required to perform the activity/task. Do not include resources that may be useful but are not essential to the activity or task.

Determine the number of personnel needed to conduct the activity/task.

Step 4: Identify the necessary vendors or suppliers whose goods or services are currently required in order to carry out the activity/task, and identify other agencies that rely on your agency to provide services or support in connection with these activities.

Essential Function: _____

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Activities & Tasks	Facilities or Worksites	Communication Systems	Personnel	Essential records & Databases	Vital Systems & Equipment	Key Vendors, Critical Government Agencies or Departments

WORKSHEET 4: SPECIFIC THREAT IMPACT ASSESSMENT

Use this Worksheet to determine the impact of the potential threats on the organization's ability to perform its essential functions.

Step 1: List all of the threats that may potentially have an impact on the organization's ability to deliver its essential functions in Column 1.

Step 2: Determine the severity of the impact if the event listed in Column 1 occurred. Assign a numerical value to the severity of the impact in Column 2 using the following schema:

- ❑ Catastrophic Event = 4
- ❑ Major Event = 3
- ❑ Moderate Event = 2
- ❑ Minor Event = 1

Step 3: Indicate the probability that the event identified in Column 1 will occur in Column 3. Assign a numerical value based on the following criteria:

- ❑ Frequent = 4
- ❑ Occasional = 3
- ❑ Uncommon = 2
- ❑ Remote = 1

Step 4: Determine the impact of the risk by multiplying the severity by the probability. Risks with a score of 6 or higher are considered to cause a significant disruption to operations.

Column 1	Column 2	Column 3	Column 4
Event	Severity	Probability	Score

WORKSHEET 5: PRELIMINARY VULNERABILITY ASSESSMENT

Use this Worksheet to determine the impact of the loss of critical resources on essential functions.

Step 1: List all of the essential functions identified in Worksheet 1.

Step 2: For each of the resources listed in Columns 2-7, indicate the level of impact to the organization's ability to perform the essential function if the resource was lost. ***Note:*** The impact to facilities or worksites may differ depending on whether the event is localized or area-wide. Use the following numerical schema to indicate the impact of the lost resource:

- Major = 4
- Significant = 3
- Moderate = 2
- Minimal = 1
- None or N/A = 0

Step 3: For those areas where the impact is major or significant (4 or 3), does the organization have existing capabilities to recover the essential function if the resource were lost? Those areas where existing capabilities do not exist to recover the essential function are identified as vulnerabilities.

Impact of Lost Resource on Essential Functions:

Column 1	Column 2		Column 3	Column 4	Column 5	Column 6	Column 7
Description of Essential Function	Facilities or Worksites		Communications Systems	Personnel	Essential records & Databases	Vital Systems & Equipment	Key Vendors, Critical Government Agencies or Departments
	Local	Area-wide					

WORKSHEET 6: RECOVERY STRATEGIES

Use this Worksheet to identify succinct courses of action that can be taken if a disruption occurs – alternative means for conducting operations, under emergency conditions, to assure that time-critical activities are resumed.

Step 1: List all of the essential functions identified in Worksheet 1.

Step 2: Refer to the vulnerabilities identified in Worksheet 5.

Step 3: Identify the recovery strategy for each vulnerability identified in Worksheet 5. Note: In some cases, an organization may not have developed recovery strategies. If a recovery strategy does not exist for a vulnerability, it should be noted on this worksheet.

Recovery Strategies:

Column 1	Column 2		Column 3	Column 4	Column 5	Column 6	Column 7
Description of Essential Function	Facilities or Worksites		Communications Systems	Personnel	Essential records & Databases	Vital Systems & Equipment	Key Vendors, Critical Government Agencies or Departments
	Local	Area-wide					

WORKSHEET 7: MINIMUM FACILITY REQUIREMENTS

If the Essential Function in Worksheet 3 requires facilities or space, this Worksheet should be completed to identify the resources required.

Step 1: For each Essential Function listed in Worksheet 1, identify the minimum number of personnel, equipment and communications services needed in order to carry out the Essential Function.
Step 2: Describe the minimum amount of space needed to carry out the Essential Function, as well as any security and access requirements required for the facility.

Recovery Strategies:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Essential Function	Number of Personnel	Equipment	Communications	Space Required	Security	Access

WORKSHEET 8: ALTERNATE WORKSITE OPTIONS

This Worksheet should be used to track alternate worksites and facilities.

Step 1: Identify alternate worksites or facilities that could be used by the agency in the event of an emergency.

Step 2: Identify any legal agreements currently in place for that facility, and the date of the agreement.

Step 3: Provide pertinent information that is specific to the use of that facility.

Column 1	Column 2	Column 3	Column 4
Facility	Lease or other Agreement	Date Executed/Contact	Special Notes

WORKSHEET 9: INTEROPERABLE COMMUNICATIONS SYSTEMS

This Worksheet addresses the need for operable and interoperable communications in the event of an emergency. This worksheet is designed to assist the agency to identify the critical communications systems that support the Essential Functions listed on Worksheet 3.

Step 1: List each communication system from Worksheet 3 in Column 1.

Step 2: List the current provider(s) for each communication system in Column 2.

Step 3: In Column 3, provide a list of the services this provider is currently providing. This information should be used in future continuity planning efforts to determine the types of communications services the organization requires in order to effectively deliver its Essential Functions.

Step 4: In Column 4, include the emergency communications services that are currently being supplied by various vendors. This will help the organization determine, in future continuity planning efforts, whether emergency communications services are adequate for carrying on essential functions or whether there is an existing "gap" that must be addressed and remedied by the organization's Continuity Plan.

Step 5: Under Column 5, list any alternate providers or modes of communications that you are aware of or have identified and that may be considered as back-up providers for certain communications services in the event that the primary provider is not able to provide those services.

Column 1	Column 2	Column 3	Column 4	Column 5
Communications System	Current Provider	Services Provided	Emergency Services	Alternate Providers or Modes

WORKSHEET 10: KEY PERSONNEL (If you have already completed Worksheet 14, there is no need to use this one.)

This Worksheet is used to determine the order of succession for key positions that support each Essential Function.
Step 1: List each Essential Function, as identified on Worksheet 1.
Step 2: List the title of the positions that are critical to carrying out the Essential Function.
Step 3: For each position, list the successor or successors who will be responsible for ensuring that the Essential Function is carried out in the event that the current individual is unable to perform the responsibilities of that position.

Column 1	Column 2	Column 3
Essential Function	**Key Position**	**Best Alternate(s)**

WORKSHEET 11: ESSENTIAL RECORDS AND DATABASES

If the Essential Function in Worksheet 3 relies on the use of Essential records, this Worksheet should be completed.

Step 1: List the essential records needed to support the operation of the Essential Function for at least thirty (30) days. *Do not include records that may be useful but are not essential to performing the service.*

Step 2: List the activity or task that relies on this record.

Step 3: Describe the form (paper, electronic, microfilm), current location, and maintenance frequency of the record.

Step 4: Identify current and additional protection methods for the record.

Step 5: Identify restoration or recovery resources (internal or external) including contact information, and services that they can provide in the event of an emergency.

Essential Function:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9
Essential Record	Associated Activity	Form of Record	Current Location	Current Policies and Procedures for Maintenance and/or Back Up	Current Protection Methods	Recommendations for Additional Protection Methods	Restoration Agency or Vendor	Services Provided

1

WORKSHEET 12: MISSION CRITICAL SYSTEMS & EQUIPMENT

If the Essential Function in Worksheet 3 relies on Vital Systems or Equipment, this Worksheet should be completed.

Step 1: List the mission critical systems or equipment needed to support the operation of the Essential Function for at least thirty (30) days. *Do not include systems or equipment that may be useful but are not essential to performing the service*.

Step 2: Describe any dependent processes or systems which rely on this vital system or equipment.

Step 3: Identify the type and location of the mission critical systems or equipment.

Step 4: Describe the current protection methods for these Mission Critical Systems and Equipment.

Step 5: Identify alternate systems or equipment and vendors that can be called upon to restore or replace systems that are inoperable.

Essential Function:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Mission Critical or Equipment and Brief Description	Associated Activity or Task	Dependent Process/System	Location	Current Protection Methods	Alternate Systems or Equipment	Restoration Resources

WORKSHEET 13: VENDORS & SUPPORTING AGENCIES

If the Essential Function in Worksheet 3 requires private vendors, this Worksheet should be completed.

Step 1: List the name of each vendor or supporting agency identified in Worksheet 3, and describe the products or services being supplied, or services offered by the supporting agency.
Step 2: List the activity or task being supported by this vendor's goods or services.
Step 3: List the Recovery Time Objective (RTO) for this activity or task.
Step 4: If there are multiple vendors currently providing the agency with this service, list each one.
Step 5: Has the agency identified additional/back-up vendors that are capable of providing these goods or services (but do not currently have a contract with the agency)?
Step 6: Determine whether the current vendor is capable of delivering the goods or services within the allotted RTO?

Essential Function:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Name of Vendor or Supporting Agency	Description of Product or Service	Which Activity or Task Does this Vendor or Supporting Agency Support?	RTO	Multiple Vendors Currently Supporting this Service?	Have you Identified Other Potential Vendors or Supporting for this Service?	Can this Vendor or Agency Satisfy RTO?

WORKSHEET 14: KEY POSITIONS & ORDERS OF SUCCESSION (Complete either Worksheet 10 or 14)

This Worksheet is used to determine the order of succession for key positions that support each essential function. In determining if a position is a "key position" in the organization, it is helpful to consider the following:

1. Which positions do personnel and management consider to be critical to their division?
2. Which positions have been most critical during past emergencies?
3. What skills or requirements made these positions critical?
4. Were there any unfavorable consequences resulting from vacancies in this position in the past?
5. Has the organization faced unforeseen problems in the past resulting from a particular vacancy?

Step 1: List each essential function, as identified on Worksheet 1, in Column 1.

Step 2: List the title of the positions that are critical to carrying out the Essential Function.

Step 3: For each position, list the successors (at least 2) who will be responsible for ensuring that the essential function is carried out in the event that the current individual is unable to perform the responsibilities of that position.

Column 1	Column 2	Column 3
Essential Function	**Key Position**	**Successor(s)**

WORKSHEET 15: DELEGATIONS OF AUTHORITY

This worksheet should be used to capture delegations of authority. To ensure rapid response to any emergency situation that requires Continuity Plan implementation, organizations should pre-delegate authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

Step 1: List the authority to be delegated in the event of an emergency and the individual who will be charged with carrying out the authority in Column 1.

Step 2: Describe the type of authority (e.g. emergency, administrative) in Column 2.

Step 3: List the title of the individual who is currently in the position of authority in Column 3.

Step 4: List the conditions that will trigger the delegation of this authority to another individual in Column 4.

Step 5: List the limitations on the delegation of authority (statutory or others) in Column 5.

Delegation of Authority:

Column 1	Column 2	Column 3	Column 4	Column 5
Authority	Type of Authority	Position(s) Holding Authority	Triggering Conditions	Limitations on Delegation

WORKSHEET 16: CRITICAL ACTIVITY RECOVERY PROCEDURES

This worksheet is used to document the procedures to be taken to recover an essential function. This format facilitates breaking down the overall recovery process into succinct steps in order to ensure that the recovery plan is operationally feasible. **Each column is optional depending on the nature of the operations and level of detailed steps required for recovery of operations.**

Step 1: For each essential function or activity, document the steps to be taken to recover the function or activity. Number the steps in Column 1, assign a brief name to each step in Column 2, and include a description of the process in Column 3.

Step 2: In Column 4, identify the person, by position, who would normally lead each step.

Step 3: In Column 5, identify any step or task dependencies.

Step 4: In Column 6, identify any steps or tasks that are dependent on this step (successor task dependencies).

Department/Division:

Essential Function/Activity:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Stage/Step No.	Brief Name	Process Description Notes	Staff Position Who Normally Leads	Predecessor Task Dependencies	Successor Task Dependencies

ATTACHMENT 6 – CONTINUITY PLANNING GLOSSARY & ACRONYMS

CONTINUITY PLANNING PROGRAM GLOSSARY

**The terms with an asterisk in front are those used in both the Disaster Recovery and Continuity Planning Programs. These definitions are aligned to create a standard, common usage for recovery and continuity planning efforts.*

***Activation** – The implementation of capabilities, procedures, activities, and plans in response to an emergency or disaster declaration; the execution of the emergency response plan and or/business recovery plan.

***Activation Team** – An identified group of trained personnel who will be convened upon the occurrence of a situation that affects the continuation of agency or department's essential and/or mission critical business functions. The team will assess the situational information and make a determination or recommendation regarding the continuation of essential or mission critical business functions. This type of team may operate under several different names such as Crisis Management Team, Activation Team, Executive Team, or Continuity Team.

Agencies – State Executive Branch agencies, departments, and independent organizations.

Agency Head – The highest-ranking official of the primary occupant agency or a successor or designee selected by the official.

Agency Representative – A person assigned by a primary, assisting, or cooperating Federal, State, tribal, or local government agency, or nongovernmental or private organization, that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

***Alternate Facility** – Also referred to as a continuity facility, it can have any one of the following meanings: (1) A location, other than the normal facility, designated to be used to carry out essential or mission critical business functions. (2) An alternate operating location to be used by business functions when the primary facilities are inaccessible. (3) Another location, computer center or work area designated for recovery. (4) Location, other than the main facility, that can be used to conduct business/essential functions. (5) A location, other than the normal facility, used to process data and/or conduct critical business functions in the event of a disaster. (6) Alternate or continuity facilities refer to not only other locations, but also nontraditional options such as working at home ("Teleworking"), telecommuting, and mobile-office concepts.

Automated Data Processing (ADP) Equipment – Equipment that performs data processing largely by automatic means.

Collateral Damage – Injury to personnel or damage to facilities that are in unaffected parts of a facility, including damage to equipment or contents as a result of fire or flood.

***Command and Control** – Commands the local Emergency Operations Center (EOC) reporting up to senior management on the recovery process. Has the authority to invoke the local recovery plan.

Consumable Office Supplies – General supplies that are consumed in office use.

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

Continuity Guidance Circular (CGC) – The CGC 1 is a guidance document that provides direction to non-federal entities for developing continuity plans and programs.

***Continuity of Government (COG)** – The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority, and active command and control.

Continuity of Government Readiness Condition (COGCON) – For the state executive branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the Sacramento Capital Region. The COGCON system is a means to establish, measure, and report the readiness of California's executive branch continuity programs independent of other state or federal government readiness systems.

***Continuity of Operations (COOP)** – The activities of individual departments and agencies and their sub-components to ensure that their essential functions are continued under all circumstances. This includes plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of essential records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training, and exercises.

Continuity of Operations Plan – A plan to ensure the safety of employees and the resumption of time-sensitive operations and services following an emergency.

Continuity Communications – Alternate communications both internal and external that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Continuity Event – This refers to any event that requires an agency or department to relocate resources or operations to an alternate site to assure the continuation of its essential functions.

Continuity Planning – Historically, the federal government defined continuity efforts using the terms "COOP" and "COG." These were often separate and compartmentalized activities. This old organizational framework has changed and the new program uses instead the reference to "Continuity Planning" as an overlapping integration of continuity of operations and continuity of government concepts.

Critical Infrastructure Protection (CIP) – Risk management actions intended to prevent a threat from attempting to, or succeeding at, destroying or incapacitating critical infrastructures. Critical infrastructures are those systems and assets so vital to the Nation that their incapacity or destruction would have a debilitating impact on national security, national economic security, and/or national public health or safety.

***Data Recovery –** The restoration of data from backup media to restore programs and production data to the state that existed at the time of the last safe backup.

Delegation of Authority – Specifies who is authorized to act on behalf of the agency or department head and other key officials for specific purposes.

***Dependency –** The reliance, directly or indirectly, of one activity or process upon another, including internal/external dependencies and IT/Non-IT dependencies.

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

Disaster Service Worker – Per the California Government Code, Section 3100, all public employees are declared to be disaster service workers subject to such disaster service activities as may be assigned to them by their superiors or by law.

Technology Recovery Plan (formerly known as Disaster Recovery Plan) – Technology Recovery is the technical recovery plan for networks, systems, applications, data, and communications, both voice and data. Technology Recovery Planning provides for the recovery and restoration of an agency's information technology and telecommunications infrastructure in support of critical business functions, to minimize decision-making during an event, thus producing the greatest benefit from the remaining limited resources, and achieves a systematic and orderly migration toward the resumption of all computing services within an agency following a business or governmental disruption.

Drive-Away Kit – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment. This is also referred to as "Go Kits."

***Emergency Operating Records** – Records that support the execution of an agency's essential or mission critical business functions, such as plans and directives, lines of succession, delegations of authority, and references for performing essential or mission critical business functions.

Enduring Constitutional Government (ECG) – A cooperative effort among the Executive, Legislative, and Judicial branches of government, coordinated by the President, to preserve the capability to execute constitutional responsibilities in a catastrophic emergency.

Emergency Response Group (ERG) – An identified group of trained personnel assigned the responsibility of relocating to the designated alternate facility to continue essential functions upon a Continuity Plan Activation.

***Essential Functions** – Functions that enable the agency or department, on behalf of the state, to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.

*** Essential Records** – Electronic and hardcopy documents, references, and records needed to perform and support essential or mission-critical functions, including those records essential to protecting the legal and financial rights of that organization and of the individuals directly affected by its activities.

Essential Resources – Resources that support the agency or department's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.

***Event –** A sudden, unplanned catastrophic disruption causing unacceptable damage or loss, which may impact or interrupt services.

Executive Agent – A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administrative support or coordinating common functions, or it may be delegated authority, direction, and control over specified resources for specified purposes.

Federal Continuity Directive (FCD) – A document developed and promulgated by DHS which directs the Executive Branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Incident – An occurrence or event, either human-caused or by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.

Interagency Agreements – A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Interoperability – (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 to enable them to operate effectively together. (2) The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

Legal and Financial Records – Records that are needed to protect the legal and financial rights of the government and of the persons affected by its actions.

Logistical Support Services – Personnel who have the skills and authority to coordinate the provision of resources and services.

***Mission Critical Data** – Information essential to supporting the execution of an agency's essential or mission critical business functions.

***Mission Critical Resources** –The minimum resource requirements needed to perform or restore an agency's essential or mission critical business functions. Critical resources could include facilities, communication systems, personnel, essential records and databases, vital systems and equipment, key vendors, and other government agencies. *Worksheet 3: Resource Requirements for Essential Functions* may be used to capture an agency's mission critical resources.

***Mission Critical Systems** – Information Technology equipment essential to supporting the execution of an agency's essential or mission critical business functions, including hardware, software, networking components, etc.

Multi-Year Strategy and Program Management Plan – A multiple-year process to ensure the maintenance and continued viability of Continuity Plans.

Occupant Emergency Plan (OEP) – A short-term emergency response program that establishes procedures for safeguarding lives and property directly following an emergency. Also known as Facility Emergency Plans or Evacuation Plans.

Order of Succession – Provisions for the assumption of senior agency offices and other key positions during an emergency in the event that any of those officials are unavailable to execute their legal and/or essential duties.

Primary Operating Facility – The site of normal, day-to-day operations; the location where an employee usually goes to work.

***Priority Classifications –** The act or process of classifying actions, operations, or tasks to specific groups or categories according to established criteria, such as precedence or merit of attention before competing alternatives.

Procedures – A document that outlines a series of action steps taken to accomplish a desired end result.

Processes – To put through the steps of a prescribed procedure: a series of actions, changes, or functions.
Provisions – The act of supplying or fitting out, or a stock of necessary supplies.

***Reconstitution** – The process by which agency personnel resume (transition back to) normal agency operations from the alternate location back to the primary or replacement primary operating facility.

Risk Analysis – The identification and assessment of hazards and the frequency of occurrence.

Senior Activation Team – A pre-identified group of trained personnel who are convened following an event which affects the continuation of agency/departmental essential functions. The team will assess situational information and make a determination or recommendation regarding the continuation of essential functions. This type of team may operate under several different names such as Crisis Management Team, Activation Team, Executive Team, or Continuity Team.

Telecommuting – When an employee carries out their work duties at their residence or another convenient site rather than their official duty station.

Telecommuting locations – These locations may be set up with computers and telephones to enable employees to work at a location closer to their residence rather than their official duty station.

***Test, Training, and Exercises (TT&E)** – Measures to ensure that an agency's continuity program is capable of supporting the continued execution of its essential or mission critical business functions throughout the duration of an event.

Virtual offices – A location or environment where an employee performs work through the use of portable information technology and communication packages.

Vital Databases – Information systems needed to perform and support essential functions during a continuity event.

CONTINUITY PLANNING PROGRAM ACRONYMS

AAR	After Action Report
ADP	Automated Data Processing
AI	Avian Influenza
BCM	Business Continuity Management
BCP	Business Continuity Plan
BIA	Business Impact Assessment
BRP	Business Resumption Plan
CAL OES	California Office of Emergency Services (Governor's Office of Emergency Services)
CIP	Critical Infrastructure Protection
CISO	California Information Security Office
CGC	Continuity Guidance Circular
COG	Continuity of Government
COGCON	Continuity of Government Readiness Conditions
COOP	Continuity of Operations
CSTI	California Specialized Training Institute
DGS	Department of General Services
DHS	Department of Homeland Security

DOC	Departmental Operations Center
DRP	Disaster Recovery Plans
DSW	Disaster Service Worker
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
ERG	Emergency Relocation Group
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ERG	Emergency Relocation Group
FEMA	Federal Emergency Management Agency
FCD	Federal Continuity Directive
FOUO	For Official Use Only
FPC	Federal Preparedness Circular
GEOEC	Governor's Emergency Operations Executive Council
HR	Human Resources
HSPD	Homeland Security Presidential Directive
IC	Incident Commander
ICS	Incident Command System
IT	Information Technology
MOA	Memorandum of Agreement

MOU	Memorandum of Understanding
MYSPMP	Multi-year Strategy and Program Management Plan
NEF	National Essential Functions
NIMS	National Incident Management System
NRP	National Response Plan
NSPD	National Security Presidential Directive
OA	Operational Area
OASIS	Operational Area Satellite Information System
ODP	Office of Domestic Preparedness
OEP	Occupant Emergency Plan
ORP	Operational Recovery Plans
OS	Operations Specialists
PI	Pandemic Influenza
POC	Point of Contact
PPD	Presidential Policy Directive
REOC	Regional Emergency Operations Center
RFP	Request for Proposal
RTO	Recovery Time Objectives

SAT	Senior Activation Team
SEF	State Essential Functions
SEMS	Standardized Emergency Management System
SEP	State Emergency Plan (California)
SIMM	Statewide Information Management Manual
SOC	State Operations Center
SOP	Standard Operating Procedure
SPF	Single Point of Failure
TA	Technical Assistance Program
TT&E	Tests, Training, and Exercises
WMD	Weapons of Mass Destruction