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. Both the 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.]	**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. Procedures exist for an annual review of this agency Continuity Plan and the ability to make any needed revisions. Comments:			
4. Includes a risk or hazard analysis to identify threats to facilities and operations. Comments:			

	Yes – Element is Addressed in Plan	No – Element Not Completely Addressed in Plan	Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps
5. Includes an adopted operational plan that identified activation criteria, responsibilities, and command and control during a Continuity Plan activation. Comments:			
6. Established readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies. <Example: the federal Continuity of Government Readiness Conditions system (COGCON)> Comments:			
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. Essential functions are listed, prioritized and document in the Plan. Comments:			
2. Staffing requirements for each essential function are identified. Comments:			
3. Resource requirements for each essential function are identified. Comments:			

4. Critical data and data systems for each essential function are identified. Comments:			
5. Support activities are addressed as part of essential functions. Comments:			
6. Resumption or Recovery plans exist for essential functions to ensure operational capability within 12 hours. Comments:			
7. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days. Comments:			
8. Considered and identified the department's role in supporting the State Emergency Functions. Comments:			

Lines of Succession/Delegation of Authority [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. Line of Succession is established for the agency's highest position of authority. Comments:			
2. Line of succession is established for the other leadership positions. Comments:			
3. Policy for the delegation of emergency authorities is established and described. (Limitations for delegated authorities are listed.) Comments:			
4. Lines of succession are included in continuity plans. Comments:			
5. Rosters of trained personnel with the authority to perform essential functions and activities are maintained. Comments:			

	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
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 WMD threats. Comments:			
2. Sufficient space and equipment to sustain the relocating organization are identified and included in relocation planning. Comments:			
3. Pre-positioned resources are identified and where possible contingency contracts are established or prepared with appropriate resource providers. Comments:			

	Yes – Element is Addressed in Plan	No – Element Not Completely Addressed in Plan	Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps
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:			
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 physical security and access controls. Comments:			
Continuity Communications [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 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. Procedures or plans exist for communications with Continuity contingency staff, management and other organizational components. Comments:			

	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
2. Procedures or plans exist for communications with other agencies and emergency personnel. Comments:			
3. Procedures or plans exist for access to data and systems necessary to conduct essential activities and functions. Comments:			
Human Capital [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:			

Vital Records Management [Capability Description: Each department and agency continuity program, plan, and procedures should account for the identification and protection of those vital 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 Vital 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:			
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 data are included. Comments:			
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	Yes – Element is Addressed in Plan	No – Element Not Completely Addressed in Plan	Corrective Actions (If Answered No) – Strategy for Addressing Planning Gaps
[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.]	[Reference page number and name of plan where the info can be found]		
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 Operations [Capability Description: Agencies must identify and 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.]	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. 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.

COOP/COG PLAN COORDINATOR

Date: Phone Number:

AGENCY/DEPARTMENT DIRECTOR

Date:

AGENCY NAME

DEPARTMENT NAME