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**California**

**Governor’s Office of Emergency Services**

**Building Organizational Resiliency**



**UNCLASSIFIED**

**Situation Manual (SitMan)**

**Continuity Planner’s Workshop**

**All-Hazards**

**Discussion Based Table Top Exercise (TTX)**

**Transportation Air, Rail, Ground, Ports**

# Preface

This All-Hazard Discussion Based Table Top Exercise (TTX) is sponsored by California Governor’s Office of Emergency Services (Cal OES) Preparedness Division. This Situation Manual (SitMan) was produced with input, advice, and assistance from the Continuity Workgroup and Exercise Planning Team.

This SitMan gives participants the information necessary to conduct this Continuity Exercise and keep the pace moving forward.

For most exercises, there are a number of exercise documents produced; the Facilitator Guide, the Master Scenario Events List (MSEL), a SitMan and/or a brief Player Guide. Since All-Hazard FE is a training exercise, only an expanded SitMan is produced. This SitMan contains the MSEL, which is usually not distributed to players before the exercise.

The SitMan and/or Player Guide may be viewed by all participants. It is recommended that the Continuity Program Manager/Facilitator review this guide and Master Scenario Events List (MSEL) prior to execution. Ultimately, identifying and referencing back to specific elements of the Plan to be discussed or viewed by participants during the exercise.

All exercise participants should use appropriate guidelines to ensure the proper control of information within their areas of expertise and to protect this material in accordance with current jurisdictional directives. Public release of exercise materials to third parties is at the discretion of organization/agency hosting and conducting this exercise.

# Handling Instructions

1. The title of this document is the All-Hazard Situation Manual (SitMan).
2. The information gathered in this SitMan is UNCLASSIFIED. The control of information is based more on public sensitivity regarding the nature of the exercise than on the actual exercise content.
3. Public release of exercise materials to third parties is at the discretion of organization/agency hosting and conducting this exercise.
4. For more information, please consult the following point of contact (POC):

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# Chapter 1: General Information

## Introduction

The All-Hazard Continuity Discussion Based TTX is designed to establish a learning environment for the participants in Continuity Planner’s Workshops statewide. The purpose of the All-Hazard TTX is to discuss continuity plans, policies, and procedures through a scenario. All-Hazard FE uses the Homeland Security Exercise and Evaluation Program (HSEEP) building block approach where simpler exercises build up to more complex ones. A tabletop exercise is the most complex of the discussion based exercises, which will precede operations based exercises, such as functional and full scales.

## Purpose

The purpose of this exercise is to allow agencies to discuss and validate agencies’ continuity plans and capabilities after an incident that drives relocation of their offices.

## Scope

The Continuity Planner’s Workshop TTX focuses on critical aspects of preparing for a no-notice event, and examining the expectations between continuity planners, executive management, facility management, and emergency relocation team members. Through this process of discussing procedures necessary to re-establish critical business functions, decision makers get involved in the provision of all-hazard incident management and familiarize themselves with critical elements of continuity planning.

## Core Capabilities

This workshop uses core capabilities-based planning to guide organizational preparedness planning, establish training requirements, and evaluate performance through this exercise. This approach identifies gaps in current capabilities and focuses efforts on the improvement planning process. In keeping with the capabilities-based planning described in the National Preparedness Framework, the following capabilities provide the foundation for development of the exercise objectives and scenario:

* **Planning -** Conduct a systematic process engaging appropriate stakeholders to meet defined objectives.
* **Situational Assessment -** Provide all decision makers with relevant information regarding the nature and extent of the incident, cascading effects, and status of the response.
* **Operational Communications -** Ensure the capability to communicate with both emergency response (internal/external) and affected/impacted areas.
* **Operational Coordination -** Establish and maintain a coordinated operational structure that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

This approach identifies gaps in current capabilities and focuses efforts on identifying and developing priority capabilities and tasks for the jurisdiction. These priority capabilities are articulated in the jurisdiction’s homeland security strategy and Multi-Year Training and Exercise Plan, of which this exercise is a component.

**Selected Core Capabilities:** (Core Capabilities based upon the National Preparedness Goal)

|  |  |  |
| --- | --- | --- |
| **Continuity Planner’s TTX Core Capabilities** | | |
| **Core Capability** | **Reference Number** | **Core Capability Support Objectives** |
| **Planning** | 01 | Develop, validate, and maintain continuity plans, policies, and procedures, and how the agency will prioritize, coordinate, manage, and support personnel, information, equipment, and resources during all four phases of continuity planning:   * Phase I - Readiness and Preparedness * Phase II - Activation and Relocation * Phase III - Continuity Operations * Phase IV - Reconstitution and Recovery |
| 02 | Implement, exercise and maintain Continuity Plan to ensure continuity of operations.  Assess overall integration and coordination needed to be successful when conducting continuity operations, training and exercises.  Address procedural gaps and shortfalls. |
| 03 | Convene continuity workgroup as core continuity planning team that provides divisional input and direction. |
| **Situational Assessment** | 04 | Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard/disruption, any cascading effects, and status of response.  Deliver information sufficient to inform decision making process regarding re-establishing organizational and state essential functions, stabilizing the incident and transitioning to recovery. |
| **Operational Communications** | 05 | Ensure the capability for timely communications, situational awareness, providing effective operations to mitigate and recover.  Provide prompt and actionable messages, alerts, and notifications. |
| 05 | Re-establish sufficient communication infrastructure within the affected areas to support essential functions.  Provide communications/data interoperability to talk within and across agencies and jurisdictions. |
| 06 | Incorporate information Technology Recovery Plan (TRP) within continuity planning, testing, training and exercising. |
| **Operational Coordination** | 07 | Establish and maintain a unified/coordinated operational structure and process that appropriates all division/stakeholders that supports the execution of core capabilities and essential functions.  Execute operations with functional and integrated communications.  Identify, assess, prioritize and inform (incident action planning process).  Establish and maintain partnerships to support networking, planning, and coordination.  Mobilize all critical staff/resources and establish command, control, and coordination structures to re-establish, sustain operations and recover from major incidents/disruptions.  Enhance and maintain SEMS/NIMS compliance. |

**Note:** Core Capabilities are the distinct critical elements necessary for success, enabling the assessment and/or evaluation process to look at organizational preparedness levels and identify areas for improving plans, policy and procedures.

### Organizational Objectives and Expectations

* Validate continuity plans.
* Test the alert, notification, and relocation process.
* Develop information sharing network standards: survivable, interoperable, compatible, secure, accessible.
* Activate and sustain operations from continuity facility.
* Assess and prioritize recovery needs.

**Organizational Training Strategy**

An all-hazards approach is the critical component of California Governor’s Office of Emergency Services Statewide Continuity Programs training outreach. The primary focus is an incident-management approach to train senior staff positions and essential-functional team elements collectively, and to facilitate effective decision-making. This type of Training and Exercise (T&E) provides a comprehensive staff development and acquisition of resources that directly enhances overall preparedness.

The *Training Strategy* addresses five critical questions encompassing smaller, derivative issues and concerns.

1. Who should be trained?
2. What tasks should they be trained to perform?
3. Which training instruction/delivery methods and tasks are necessary to maximize success in training?
4. What methods should be used to evaluate competency and performance upon completion of training?
5. What gaps in existing training need to be remedied to assure consistency with the findings of the Training Strategy?

The initial task for the *Statewide Continuity Programs Training Strategy* is a thorough examination and documentation of prominent approaches to the development, delivery and revision of organizational continuity programs. The starting point is the existing documentation addressing testing and training of emergency management professionals in activities consistent with those of a “Catastrophic Event or Domestic or International Acts of Terrorism”.

## Confidentiality

Exercise All-Hazard FE is an *unclassified exercise*. The control of information is based more on public sensitivity regarding the nature of the exercise than on the actual exercise content. Public release of exercise materials to third parties is at the discretion of organization/agency hosting and conducting this exercise.

# Chapter 2: Exercise Logistics

## Exercise Summary

### General

The All Hazard TTX is designed to establish a learning environment for players to discuss their continuity plans and procedures. Players will discuss their own plans and procedures within their assigned working groups as they listen and walk through each scenario.

### Assumptions

Assumptions constitute the implied factual foundation for the exercise and, hence, are assumed to be present before the start of the exercise. The following general assumptions apply to All-Hazard TTX:

* The exercise will be conducted in a no-fault learning environment wherein processes, not individuals, will be evaluated.
* Exercise simulation will be realistic and plausible, containing sufficient detail from which to respond.
* Exercise players will react to the information and situations as they are presented, in the same manner as if this had been a real event.
* Exercise participants are well versed in their own agency’s role and continuity plans and procedures.
* Players will discuss exercise events in accordance with agency approved plans, procedures, and processes.
* Decisions made during the exercise are not precedent-setting and do not necessarily reflect an agency’s final position on a given issue. The exercise is an opportunity to discuss and present multiple options and possible solutions.

## Exercise Tools

### Situation Manual (SitMan)

The SitMan is a handbook provided to all participants in All-Hazard TTX. The SitMan provides background information on the exercise scope, schedule, and objectives. It also presents a brief scenario narrative that will drive participant discussions during the exercise.

### Facilitator Guide

A Facilitator Guide is designed to help exercise facilitators conduct an effective exercise. This handbook also enables facilitators to understand their roles and responsibilities in exercise execution.

### Master Scenario Events List (MSEL)

The MSEL outlines benchmarks, as well as Major Events that drive exercise play. It also details realistic input to the exercise players and provides the environment for the players to discuss their agency plans and procedures. Injects will follow each Major Event and will include information such as inject time and a short description of the event. In All-Hazard TTX the MSEL is included in the SitMan.

## Exercise Implementation

### Exercise Play

The exercise will begin after introductions, exercise purpose and objectives are fully understood by those participating. The exercise will end with a hot wash when the Lead Facilitator decides the objectives are met. Exercise play will begin with the first Major Event displayed to all players as a news cast/media release. Play will proceed according to the events outlined in the MSEL, in accordance with established plans and procedures. Injects will follow each Major Event to provide additional points of discussion.

### Concept of Play

The All-Hazard FE MSEL will drive the exercise which, in turn, will trigger other events. The Major Events will be displayed on a video screen for all participants. Once provided with the event, the facilitator will prompt discussion through a number of injects and discussion points. At the end of each discussion period, each table will choose a participant to brief the plenary about the discussions at their table.

The following points of information outline the concept of play:

* Three *Major Events* will be displayed via video.
* The Major Event are a part of the MSEL and signifies the beginning of the inject period.
* Following each Major Event, facilitators will present players with injects which players will be asked to respond to through discussion and written response.

### Exercise Rules

The following are the general rules that govern exercise play:

* Real-world emergency actions take priority over exercise actions.
* Exercise participants will comply with real-world response procedures unless otherwise directed by control staff.
* The scenario is designed to set the tone for the exercise; however, participants are encouraged to not get caught up with the details of the scenario and get involved in the exercise play.

## Safety Requirements

Exercise participant safety takes priority over exercise events. Professional health and safety ethics and procedures should guide all participants to operate in their assigned roles in the safest manner possible. The following general requirements apply to the exercise:

* All exercise facilitators staff will serve as safety observers while the exercise activities are underway.
* Participants will be responsible for their own and each other’s safety during the exercise. It is the responsibility of all persons associated with the exercise to declare a stop to exercise play if, in their opinion, a real safety problem exists. Once the problem is corrected, exercise play can be restarted.
* All organizations will comply with their respective environmental, health, and safety plans and procedures, as well as the appropriate local, State, Federal environmental health and safety regulations.

### Exercise Setup

Exercise setup involves the pre-staging and dispersal of exercise materials; including registration materials, documentation, signage, and other equipment as appropriate.

## Accident Reporting and Real Emergencies

For an actual emergency that requires assistance, the phrase will be *“Real-World Emergency.”* The following procedures should be used in case of a real emergency during the exercise:

* Anyone observing a participant who is seriously ill or injured will first advise the nearest facilitator, then if possible, render aid, provided the aid does not exceed his or her training.
* If the nature of the emergency requires a suspension of the exercise at the venue/function, all exercise activities at that facility will immediately cease. Exercise play may resume at that venue/function once the emergency situation has been addressed.
* If a real emergency occurs that affects the entire exercise, the exercise may be suspended or terminated at the discretion of the Exercise Director.

## Site Access

### Parking and Directions

The exercise will be held at:

Directions:

Parking:

ADA Compliant:

### Refreshments and Restroom Facilities

Restroom facilities will be available at the facility and ADA compliant.

## Communications Plan

### Exercise Start, Suspension, and Termination Instructions

The exercise, including the hot wash, is scheduled to run from 9 a.m. until 12 noon or until such time as the Exercise Director determines that the exercise objectives have been met.

### Player Communication

The primary communication method will be face-to-face. The need to maintain capability for a real-world response may preclude the use of certain communication channels or systems that would usually be available for an actual emergency incident. In no instance will exercise communication interfere with real-world emergency communications.

## Site Layout

Assess the number of participants and design room into functional working groups. Tables will be arranged so each player can view what is being displayed as well as participate in group or open discussion. Flip Charts/Easels will be provided to help facilitate/capture key points, issues, or provide specific direction. The below facility layout illustrates how this the preferred



# Chapter 3: Participant Guidelines

## Exercise Staff

### Continuity Program Manager/Lead Exercise Planner

The Continuity Program Manager/Lead Exercise Planner has the overall responsibility for planning, coordinating, and overseeing all exercise functions. He/She manages the exercise activities and maintains a close dialogue with the Senior Facilitator regarding the status of play and the achievement of the exercise design objectives.

### Facilitator

The Facilitator is responsible for the overall organization of exercise All-Hazard TTX and will take direction from the Continuity Program Manager. The Facilitator monitors exercise progress and coordinates decisions regarding deviations or significant changes to the scenario caused by unexpected developments during play.

## Facilitator Instructions

### Before the Exercise

* Familiarize yourself with the guidelines and mandates of:
* Governor’s EO S-04-06 and W-9-91
* Cal OES Preparing the State, Continuity Planning Guidance
* FEMA Continuity Guidance Circular (CGC1 & 2)
* Review the appropriate emergency plans, procedures, and exercise support documents.
* Read your Facilitator Handbook, which includes information on exercise safety.

### During the Exercise

* Keep the participants on track by prompting discussion based on injects and discussion questions in the MSEL.
* Do not engage in personal conversations with players while the exercise is in progress. Discourage sidebar conversations. If you are asked an exercise-related question, give a short, concise answer. If you are busy and cannot immediately respond, indicate so, but report back with an answer at the earliest time possible.
* Continuity matters that do not relate to injects discussed should be placed on a “parking lot” status, to be addressed at a later time.
* Parts of the scenario may seem implausible and the players may object to certain parts of the scenario. Recognize that the exercise has objectives to satisfy and may require the incorporation of unrealistic aspects.
* Ensure that the table selects a different person to report to the plenary after each discussion period.
* Remain focused throughout the exercise.

### Following the Exercise

* Encourage full participation in the hot wash.
* Ask the participants for the ups, downs and most significant lesson learned from the exercise.
* Collect the Participant Feedback Forms.

## Player Instructions

### Before the Exercise

* Review the appropriate emergency plans, procedures, and exercise support documents.
* Be seated in time before the start of the exercise.

### During the Exercise

* Respond to the exercise events and information as if the emergency were real, unless otherwise directed by an exercise facilitator.
* Do not engage in personal conversations with the facilitator or observers while the exercise is in progress. If you are asked an exercise-related question, give a short, concise answer. If you are busy and cannot immediately respond, indicate so, but report back with an answer at the earliest time possible.
* If you do not understand the scope of the exercise or if you are uncertain about an organization’s or agency’s participation in an exercise, ask the facilitator.
* Parts of the scenario may seem implausible. Recognize that the exercise has objectives to satisfy and may require the incorporation of unrealistic aspects.

### Following the Exercise

* At the end of the exercise, participate in the hot wash.
* Complete the Participant Feedback Form. This form allows you to comment candidly on Continuity activities and effectiveness of the exercise. Please provide the completed form to a facilitator.

## Simulation Guidelines

Because exercise All Hazard FE is of limited duration and scope, the physical description of what would fully occur at the incident sites and surrounding areas will be relayed to the players by simulators or facilitators.

# Chapter 4: Evaluation and Post- Exercise Activities

## Exercice Documentation

The goal of the All-Hazard TTX is to comprehensively discuss and validate continuity plans and capabilities in a no-fault environment. After the exercise, data collected by participants may be used to identify own agency strengths and areas in own plans that need improvement in the context of the exercise design objectives.

### Exercise Evaluation

The exercise will be informally evaluated as a whole by the facilitator and players for overall lessons learned, best practices, and areas of improvement as they pertain to agencies in general and/or inter-agency coordination. Agencies are encouraged to independently evaluate their agency-specific continuity plans, policies, and procedures.

Experience has shown that well-designed and executed training and exercises are the most effective means of:

* Testing and validating policies, plans, procedures, training, equipment, and interagency agreements;
* Training personnel and clarifying roles and responsibilities;
* Improving interagency coordination and communications;
* Identifying gaps in resources;
* Improving individual performance; and
* Identifying opportunities for improvement.

The evaluation phase identifies strengths and weaknesses in an organization’s preparedness levels, as observed during the conduct of each event. The evaluation phase for all training and exercises includes an informal and formal evaluation, integrated analysis, hot wash, and an After Action Report/ Improvement Plan (AAR/IP) that identifies action items to track throughout the subsequent improvement planning phase.

## Hot Wash

Following the completion of exercise play, the facilitator will conduct a hot wash. The hot wash is an opportunity for players to voice their opinions on the exercise and their own performance. Each table will be allotted no more than 5 minutes to relay thee strengths and three areas in their programs that need improvement. If additional time remains, the floor may be opened up for additional comments. Participants are encouraged to take notes for own improvement planning.

## After Action Report

The AAR is the culmination of any exercise. Since All-Hazard TTX is a training exercise, no formal AAR will be generated for the workshop. Participants are encouraged to conduct similar TTXs with their organizations to capture procedural gaps, best practices and lessons learned. At the completion, individual agency/department improvements are documented and existing Continuity Plans improved through exercise play/discussion.

# Exercise Evaluation Guides (EEGs)

**Customized Template** - Based on Continuity Workshop Training and Exercise objectives and expectations.

Exercise Evaluation Guide (EEG) Analysis Form.

Evaluator Name/Location:

Phone #:

**Prevent Mission: Planning**

|  |
| --- |
| Core Capability: Planning - Examine, validate, and maintain operational plans, policies, and procedures, and how the organization coordinates, collaborates and manages personnel, information, equipment, and resources during disruptions to critical business functions. Conduct continuity operational training and exercises based on a realistic scenarios and the need to familiarize critical staff with operational plans and procedures. (Continuity/Business Resumption Plan/Technology Recovery Plan/Building Occupant Emergency Plan) |
| ***#1 - Relevant Support Objectives*** |
| * Develop, validate, and maintain continuity plans, policies, and procedures, and how the agency will prioritize, coordinate, manage, and support personnel, information, equipment, and resources during all four phases of continuity planning:   Phase I - Readiness and Preparedness  Phase II - Activation and Relocation  Phase III - Continuity Operations  Phase IV - Reconstitution and Recovery   * Implement, exercise and maintain Continuity Plan to ensure continuity of operations. * Assess overall integration and coordination needed to be successful when conducting continuity operations, training and exercises. * Address procedural gaps and shortfalls. * Convene continuity workgroup as core continuity planning team that provides divisional input and direction. |

The exercise evaluation guide analysis sheet identifies those recommendations to enhance performance, and address changes in policy and procedures relevant to your observations.

| **Activity Analysis** |
| --- |
| **Observations *(Each bullet will need a completed After Action Report [AAR] input form.)*** |
| Strengths: |
| **Areas for Improvement / Issues / Concerns Observed** specifically focused on:   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Recommendations:**   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Summary Narrative:** |

# Exercise Evaluation Guides (EEGs)

**Customized Template** - Based on Continuity Workshop Training and Exercise objectives and expectations.

Exercise Evaluation Guide (EEG) Analysis Form.

Evaluator Name/Location:

Phone #:

**Respond Mission: Situational Assessment**

|  |
| --- |
| Core Capability: **Situational Assessment** - Provide all decision makers with decision-relevant timely information regarding the nature and proposed impact to critical business functions and support activities.  - Track key information linked to critical business resumption (staffing, resources, communications and data systems) needed to support mission essential functions.  - Develop an common operational picture so management has situational awareness to the impacts to the organization.  - Collaborate/Share timely operational, planning, logistic, administrative and finance information. |
| ***#2 - Relevant Support Objectives*** |
| |  | | --- | | * Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard/disruption, any cascading effects, and status of response. * Deliver information sufficient to inform decision making process regarding re-establishing organizational and state essential functions, stabilizing the incident and transitioning to recovery. | |

The exercise evaluation guide analysis sheet identifies those recommendations to enhance performance, and address changes in policy and procedures relevant to your observations.

| **Activity Analysis** |
| --- |
| **Observations *(Each bullet will need a completed After Action Report [AAR] input form.)*** |
| Strengths: |
| **Areas for Improvement / Issues / Concerns Observed** specifically focused on:   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Recommendations:**   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Summary Narrative:** |

**Exercise Evaluation Guides (EEGs)**

**Customized Template** - Based on Continuity Workshop Training and Exercise objectives and expectations.

Exercise Evaluation Guide (EEG) Analysis Form.

Evaluator Name/Location:

Phone #:

**Response Mission: Operational Communications**

|  |
| --- |
| Core Capability: Operational Communications - Ensure the capability for timely communications in support of situational awareness and operations to mitigate and recover from the event. Incident Command provides prompt and actionable messages, alerts, and notifications. Management establish and provides sufficient communication back to executive staff internally and stakeholders externally. |
| ***#3 - Relevant Support Objectives*** |
| * Ensure the capability for timely communications, situational awareness, providing effective operations to mitigate and recover. * Provide prompt and actionable messages, alerts, and notifications. * Re-establish sufficient communication infrastructure within the affected areas to support essential functions. * Provide communications/data interoperability to talk within and across agencies and jurisdictions. * Incorporate information Technology Recovery Plan (TRP) within continuity planning, testing, training and exercising. |

The exercise evaluation guide analysis sheet identifies those recommendations to enhance performance, and address changes in policy and procedures relevant to your observations.

| **Activity Analysis** |
| --- |
| **Observations *(Each bullet will need a completed After Action Report [AAR] input form.)*** |
| Strengths: |
| **Areas for Improvement / Issues / Concerns Observed** specifically focused on:   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Recommendations:**   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Summary Narrative:** |

**Exercise Evaluation Guides (EEGs)**

**Customized Template** - Based on Continuity Workshop Training and Exercise objectives and expectations.

Exercise Evaluation Guide (EEG) Analysis Form.

Evaluator Name/Location:

Phone #:

**Response Mission: Operational Coordination**

|  |
| --- |
| Core Capability: Operational Coordination - Establish and maintain a unified/coordinated operational structure and process that appropriates all stakeholders in the execution of core capabilities. Execute resumption strategies with functional and integrated communications. Identify, assess, prioritize and inform (internal/external information flow). Provide critical staffing needs, resources and coordination structures to re-establish, sustain, and recovery from all-hazard events. |
| ***#4 - Relevant Support Objectives*** |
| * Establish and maintain a unified/coordinated operational structure and process that appropriates all division/stakeholders that supports the execution of core capabilities and essential functions. * Execute operations with functional and integrated communications. * Identify, assess, prioritize and inform (incident action planning process). * Establish and maintain partnerships to support networking, planning, and coordination. * Mobilize all critical staff/resources and establish command, control, and coordination structures to re-establish, sustain operations and recover from major incidents/disruptions. * Enhance and maintain SEMS/NIMS compliance. |

The exercise evaluation guide analysis sheet identifies those recommendations to enhance performance, and address changes in policy and procedures relevant to your observations.

| **Activity Analysis** |
| --- |
| **Observations *(Each bullet will need a completed After Action Report [AAR] input form.)*** |
| Strengths: |
| **Areas for Improvement / Issues / Concerns Observed** specifically focused on:   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Recommendations:**   * Planning (Policy and Procedures) * Leadership/Management (Knowledge and Decision Making) * Systems/Equipment * Workshop/Exercise (Performance Improvements) * Training (Individual/Team/Collective) * Systems and Equipment |
| **Summary Narrative:** |

# Chapter 5: Scenario

**Major Event 1:**

An earthquake/tsunami/fire/flood/active shooter/power outage/suspicious powder/terrorist/cyber incident just occurred which forces your agency to relocate from the primary office.

**Injects**

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Message** | **Points of Discussion** | **Element/Function Tested** |
| 1.1 | When and how is the decision made to activate the agency Continuity Plan? | * Is there a predetermined decision matrix for Continuity activation? * Who are the key decision makers? * Once the decision is made, who initiates the activation? * Is this decision matrix in a written or chart type format? * Are there procedures in place for the ERG to ‘self deploy’? * Who are the key individuals, partners, stakeholders and offices that must be contacted immediately following activation? * Is this information written into your Continuity Plan? * Is this information available outside of your primary facility? * Will the decisions of other Agencies affect your decision? | * Alert Notification * Activation |
| 1.2 | Contact has not been established with a key decision maker, what steps can your agency take to activate your Continuity Plan? | * Is there a predetermined delegation of authority for Continuity Plan activation? * How deep (two, three or more) does your delegation go? * Is this written into your Continuity Plan? * Has it been checked by your legal authorities? * What tools/systems do key decision makers and ERG personnel have to help them maintain communications during an emergency? | * Delegation of Authority * Activation * Continuity Communications |

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Message** | **Points of Discussion** | **Element/Function Tested** |
| 1.3 | What are the immediate actions following the decision to activate the Continuity Plan? | * Do the personnel who are responsible for carrying out the Alert Notification have 24/7 access to a roster of Emergency Relocation Group (ERG) employees. * Is there a documented process to follow in the event that you cannot make contact with the employees on your ERG roster? * Is there a POC at the Continuity Facility that you need to contact regarding activation? * What steps do you need to take to prepare your Continuity Facility for occupancy? | * Continuity Communications * Alert and Notification * Human Recourses * Continuity Facilities |
| 1.4 | Have all of your employees visited your Continuity site and are they credentialed for access? | * Have you conducted exercises with all appropriate staff? If so, what type? * Did your continuity exercise program start off with simple exercises that grew into more complex exercises as your program evolved? * Are staff members familiar with your continuity site(s)? | * Test, Training and Exercises (TT&E) * Continuity Facilities |
| 1.5 | Do all of the ERG personnel deploy immediately or in phases to the alternate site? | * Do you have an advance ERG team? * What is the plan for occupying the Continuity Facility? * Does your continuity plan include site maps and routes to the facility? * Does your plan have provisions for transporting ERG members to the Continuity Facility if their vehicles are damaged or roads are impassable to low clearance vehicles? * Does your Continuity plan consider persons without their own means of transportation? * Does your Continuity plan include accountability of ERG members? Why is this important? * How about Security at your ERG site…how is it conducted? | * ERG Deployment |

**Major Event 2:**

Incident is lingering, with blocked roads and down wires. The relocation will continue for a while.

**Injects**

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Message** | **Points of Discussion** | **Element/Function Tested** |
| 2.1 | As ERG Members stood-up the Continuity Facility, how did they prioritize tasks? | * Is there a Continuity Facility Annex in your Continuity Plan that details the steps necessary to make your facility operational? * Are updated hard copies of the Continuity Plan stored at the Continuity Facility? * How are necessary materials and supplied stored at your facility? * Are your Agency’s essential functions clearly defined and prioritized? | * Essential Functions |
| 2.2 | Not all of your ERG members are reporting to the Continuity Facility. Some are out of town and others are fearful of aftershocks and would rather stay home. Who is being contacted for back-up support? | * Is there a list of alternate ERG members? * Is the contact information for alternate ERG members available outside of the primary facility? * How are alternate ERG members contacted during an event when the ERG is deployed? * Have alternate ERG members been trained on their responsibilities during a Continuity Activation? * Do you have a list of "rehire" or reserve personnel that you could draw upon if necessary? | * Human Resources |
| 2.3 | The Human Resources Manager has requested an accountability report for all personnel. | * What systems do you have in place to account for all employees during an emergency? * Do you have the ability to initiate the accountability systems from outside of your primary facility? * How would these systems be affected by landline and cellular phone congestion or failure? * Do you have a method to account for contractors? | * Human Resources * Continuity Communications |

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Message** | **Points of Discussion** | **Element/Function Tested** |
| 2.4 | An employee lost his badge and is being denied access to the Continuity Site. | * Can a temporary or replacement badge be issued at the continuity site or are there other procedures in place? | * Continuity Facilities |
| 2.5 | Teleworking ERG members are reporting difficulty logging into the network. | * What would you do if connectivity to your data network was lost? * How will this impact your operations? * How can this issue be resolved when operating from the Continuity Site? * Can functions be performed without access to the network? * Can employees at home perform work without access to vital records/network links? * Do employees know who to contact in the event of an IT problem? | * Continuity Communications * Continuity Facilities |
| 2.6 | Your agency’s primary office/somewhere else notifies you they need to devolve some essential functions to you. | * Do you have access to their systems and vital records? * Can you access their information? * Have you received training on performing the tasks usually performed in that office? * Do you have enough staff on your ERG to perform the additional duties, or will you need to call in extras? | * Essential Records * Devolution |
| 2.7 | Contractors (IT, custodial, security) want to know if they can continue work or if a stop work order will be issued by the Contracting Officer. | * What is the policy regarding contractors working during a Continuity situation? * Do you have a requirement to secure the primary facility regardless of its condition? | * Human Resources |

**Major Event 3:**

The hazard is no longer a threat to the area, and your agency will be able to start the organized return to the primary office.

**Injects**

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Message** | **Points of Discussion** | **Function Tested** |
| 3.1 | Headquarters requests a briefing regarding the creation of a reconstitution plan. | * Do you have a Reconstitution plan? * Who is in charge of Reconstitution for your agency? | * Reconstitution |
| 3.2 | What agency(s) are you dependent upon for requesting another facility if your facility is heavily damaged? | * Consider infrastructure, security and safety requirements? * Do you have access to their contact information? * Do you know what information to provide these agencies for occupation of another facility. * Have you established contact with the POC(s) for obtaining another facility? | * Reconstitution |
| 3.3 | DGS/GSA requests the name(s) of your reconstitution manager and any other relevant members of your reconstitution effort. | * How do you determine staffing for reconstitution? For example your building manager? * How are the needs of each of your agency's divisions captured? | * Reconstitution |
| 3.4 | Some equipment and furniture had to be discarded due to damage. These items need to be replaced to reoccupy the original facility. | * Do you have original equipment and furniture inventories available? * Can you obtain a list of what needs to be replaced? * Can you start making purchases to replace the items? | * Reconstitution |
| 3.5 | Employees have feedback and suggestions regarding ways to improve operations at the Continuity Facility. | * Do you have a system to capture lessons learned, areas of improvement, and best practices to ensure the agency is ready in case of another continuity event? * Do you have a test, training, and exercise program that will allow your Agency to test proposed changes to the Continuity Plan prior to the next Continuity activation? * Does your Corrective Action Program (CAP) include an Improvement Plan? | * Tests. Training and Exercises |

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# Appendix A: Participant Feedback Form

Participant Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Agency/Department: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Role:  □ Participant  □ Evaluator □ Controller

Please fill out form at the end of the exercise and return to the facilitator. Your answers are confidential.

1. How much knowledge of your Continuity program and your role during Continuity Plan activation did you have prior to exercise? (circle one)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 |
| None of the knowledge | Some of the knowledge | Most of the knowledge | Nearly all of the knowledge | Not Applicable |

1. How did the exercise affect your understanding of your Continuity program and your role during Continuity Plan activation? (circle one)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 |
| Very negative effect | Somewhat negative effect | Somewhat positive effect | Very positive effect | Not Applicable |

1. How would you rate the amount of time allowed for the exercise? (circle one)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 |
| A lot more time was needed | A little more time was needed | The amount of time was just right | A little less time would have been better | A lot less time would have been better |

1. How well organized was the exercise? (circle one)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 |
| Not organized | Somewhat organized | Moderately well organized | Extremely well organized | Not Applicable |

1. What is the most significant thing that you learned from the exercise?

1. What deficiencies in your Continuity program or plan did you identify?

1. What other types of training or exercises do you feel would improve the Continuity capability of the inter-agency community?

1. Please write any additional comments in the space below:

# Appendix B: Glossary – (Key Terms, Definitions and Acronyms)

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

**ALERT:** Notification that a potential disaster situation exists or has occurred; direction for recipient to stand by for possible activation of disaster recovery plan.

**ALTERNATE SITE:** An alternate operating location to be used by business functions when the primary facilities are inaccessible. 1) Another location, computer center or work area designated for recovery. 2) Location, other than the main facility, that can be used to conduct business functions. 3) A location, other than the normal facility, used to process data and/or conduct critical business functions in the event of a disaster. SIMILAR TERMS: Alternate Processing Facility, Alternate Office Facility, Alternate Communication Facility, Backup Location, and Recovery Site.

**ALTERNATE WORK AREA:** Office recovery environment complete with necessary office infrastructure (desk, telephone, workstation, and associated hardware, communications, etc.); also referred to as Work Space or Alternative work site.

**APPLICATION RECOVERY:** The component of Disaster Recovery that deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced. SIMILAR TERMS: Business System Recovery.

**BACKUP GENERATOR:** An independent source of power, usually fueled by diesel or natural gas.

**BUSINESS IMPACT ANALYSIS (BIA):** The process of analyzing all business functions and the effect that a specific disaster may have upon them. 1) Determining the type or scope of difficulty caused to an organization should a potential event identified by the risk analysis actually occur. The BIA should quantify, where possible, the loss impact from both a business interruption (number of days) and a financial standpoint. SIMILAR TERMS: Business Exposure Assessment, Risk Analysis

**BUSINESS INTERRUPTION:** Any event, whether anticipated (i.e., public service strike) or unanticipated (i.e., blackout) which disrupts the normal course of business operations at an organization location.

**CALL TREE:** A document that graphically depicts the calling responsibilities and the calling order used to contact management, employees, customers, vendors, and other key contacts in the event of an emergency, disaster, or severe outage situation. SIMILAR TERMS: Alert Roster; Emergency Contact List; Phone Tree

**COLD SITE:** An alternate facility that already has in place the environmental infrastructure required to recover critical business functions or information systems, but does not have any pre-installed computer hardware, telecommunications equipment, communication lines, etc. These must be provisioned at time of disaster. SIMILAR TERMS: Shell Site; Backup Site; Recovery Site; Alternate Site

**COMMUNICATIONS RECOVERY:** The component of Disaster Recovery which deals with the restoration or rerouting of an organization's telecommunication network, or its components, in the event of loss. SIMILAR TERMS: Telecommunications Recovery, Data Communications Recovery

**COMPUTER RECOVERY TEAM:** A group of individuals responsible for assessing damage to the original system, processing data in the interim, and setting up the new system.

**COMMAND CENTER:** Facility separate from the main facility and equipped with adequate communications equipment from which initial recovery efforts are manned and media-business communications are maintained. The management team uses this facility temporarily to begin coordinating the recovery process and its use continues until the alternate sites are functional.

**CONTACT LIST:** A list of team members and/or key players to be contacted including their backups. The list will include the necessary contact information (i.e. home phone, pager, cell, etc.) and in most cases be considered confidential.

**CONTINGENCY PLAN:** A plan used by an organization or business unit to respond to a specific systems failure or disruption of operations. A contingency plan may use any number of resources including workaround procedures, an alternate work area, a reciprocal agreement, or replacement resources.

**CONTINUITY PLANNING:** Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change. SIMILAR TERMS: Contingency Planning, Disaster Recovery Planning. (That can occur by chance or unforeseen circumstances.)

**CONTINUITY PROGRAM:** An ongoing program supported and funded by executive staff to ensure business continuity requirements are assessed, resources are allocated and, recovery and continuity strategies and procedures are completed and tested.

**CONTINUITY WORKGROUP:** A workgroup of decision makers, technology experts and continuity professionals, tasked with making continuity planning decisions for the organization.

**CONTINUITY OF OPERATIONS PLAN (COOP):** A COOP provides guidance on the system restoration for emergencies, disasters, mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/priorities identified by the respective functional proponent. This term traditionally is used by the Federal Government and its supporting agencies to describe activities otherwise known as Disaster Recovery, Business Continuity, Business Resumption, or Contingency Planning.

**CRATE & SHIP:** A strategy for providing alternate processing capability in a disaster, via contractual arrangements with an equipment supplier, to ship replacement hardware within a specified time period. SIMILAR TERMS: Guaranteed Replacement, Drop Ship, Quick Ship.

**CRISIS:** A critical event, which, if not handled in an appropriate manner, may dramatically impact an organization's profitability, reputation, or ability to operate.

**CRISIS MANAGEMENT:** The overall coordination of an organization's response to a crisis, in an effective, timely manner, with the goal of avoiding or minimizing damage to the organization's profitability, reputation, or ability to operate.

**CRISIS MANAGEMENT TEAM:** A crisis management team will consist of key executives as well as key role players (i.e. media representative, legal counsel, facilities manager, disaster recovery coordinator, etc.) and the appropriate business owners of critical organization functions.

**CRITICAL FUNCTIONS:** Business activities or information that could not be interrupted or unavailable for several business days without significantly jeopardizing operation of the organization.

**CRITICAL INFRASTRUCTURE:** Systems whose incapacity or destruction would have a debilitating impact on the economic security of an organization, community, nation, etc.

**CRITICAL RECORDS:** Records or documents that, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or recreation at considerable expense.

**DAMAGE ASSESSMENT:** The process of assessing damage, following a disaster, to computer hardware, vital records, office facilities, etc. and determining what can be salvaged or restored and what must be replaced.

**DATA BACKUPS:** The back up of system, application, program and/or production files to media that can be stored both on and/or offsite. Data backups can be used to restore corrupted or lost data or to recover entire systems and databases in the event of a disaster. Data backups should be considered confidential and should be kept secure from physical damage and theft.

**DATA BACKUP STRATEGIES:** Those actions and backup processes determined by an organization to be necessary to meet its data recovery and restoration objectives. Data backup strategies will determine the timeframes, technologies, media and offsite storage of the backups, and will ensure that recovery point and time objectives can be met.

**DATA CENTER RECOVERY:** The component of Disaster Recovery which deals with the restoration, at an alternate location, of data centers services and computer processing capabilities. SIMILAR TERMS: Mainframe Recovery, Technology Recovery.

**DATA RECOVERY:** The restoration of computer files from backup media to restore programs and production data to the state that existed at the time of the last safe backup.

**DATABASE REPLICATION**: The partial or full duplication of data from a source database to one or more destination databases. Replication may use any of a number of methodologies including mirroring or shadowing, and may be performed synchronous, asynchronous, or point-in-time depending on the technologies used, recovery point requirements, distance and connectivity to the source database, etc. Replication can if performed remotely, function as a backup for disasters and other major outages. SIMILAR TERMS: File Shadowing, Disk Mirroring

**DISK MIRRORING:** Disk mirroring is the duplication of data on separate disks in real time to ensure its continuous availability, currency and accuracy. Disk mirroring can function as a disaster recovery solution by performing the mirroring remotely. True mirroring will enable a zero recovery point objective. Depending on the technologies used, mirroring can be performed synchronously, asynchronously, semi-synchronously, or point-in-time. SIMILAR TERMS: File Shadowing, Data Replication, Journaling.

**DECLARATION:** A formal announcement by pre-authorized personnel that a disaster or severe outage is predicted or has occurred and that triggers pre-arranged mitigating actions (e.g. a move to an alternate site.)

**DECLARATION FEE:** A one-time fee, charged by an Alternate Facility provider, to a customer who declares a disaster. NOTE: Some recovery vendors apply the declaration fee against the first few days of recovery. 1) An initial fee or charge for implementing the terms of a recovery agreement or contract. SIMILAR TERMS: Notification Fee.

**DESK CHECK**: One method of testing a specific component of a plan. Typically, the department heads or signatories review components for accuracy and completeness and signs off.

**DISASTER:** A sudden, unplanned calamitous event causing great damage or loss. 1) Any event that creates an inability on an organizations part to provide critical business functions for some predetermined period of time. 2) In the business environment, any event that creates an inability on an organization’s part to provide the critical business functions for some predetermined period of time. 3) The period when company management decides to divert from normal production responses and exercises its disaster recovery plan. Typically signifies the beginning of a move from a primary to an alternate location. SIMILAR TERMS: Business Interruption; Outage; Catastrophe.

**DISASTER RECOVERY:** Activities and programs designed to return the entity to an acceptable condition. 1) The ability to respond to an interruption in services by implementing a disaster recovery plan to restore an organization's critical business functions.

**DISASTER RECOVERY OR BUSINESS CONTINUITY COORDINATOR:** The Disaster Recovery Coordinator may be responsible for overall recovery of an organization or unit(s). SIMILAR TERMS: Business Recovery Coordinator.

**DISASTER RECOVERY INSTITUTE INTERNATIONAL (DRI INTERNATIONAL):** A not-for-profit organization that offers certification and educational offerings for business continuity professionals.

**DISASTER RECOVERY PLAN:** The document that defines the resources, actions, tasks and data required to manage the business recovery process in the event of a business interruption. The plan is designed to assist in restoring the business process within the stated disaster recovery goals.

**DISASTER RECOVERY PLANNING:** The technological aspect of business continuity planning. The advance planning and preparations that is necessary to minimize loss and ensure continuity of the critical business functions of an organization in the event of disaster. SIMILAR TERMS: Contingency Planning; Business Resumption Planning; Corporate Contingency Planning; Business Interruption Planning; Disaster Preparedness.

**DISASTER RECOVERY SOFTWARE:** An application program developed to assist an organization in writing a comprehensive disaster recovery plan.

**DISASTER RECOVERY TEAMS (Business Recovery Teams):** A structured group of teams ready to take control of the recovery operations if a disaster should occur.

**ELECTRONIC VAULTING:** Electronically forwarding backup data to an offsite server or storage facility. Vaulting eliminates the need for tape shipment and therefore significantly shortens the time required to move the data offsite.

**EMERGENCY:** A sudden, unexpected event requiring immediate action due to potential threat to health and safety, the environment, or property.

**EMERGENCY PREPAREDNESS:** The discipline that ensures an organization, or community's readiness to respond to an emergency in a coordinated, timely, and effective manner.

**EMERGENCY PROCEDURES:** A plan of action to commence immediately to prevent the loss of life and minimize injury and property damage.

**EMERGENCY OPERATIONS CENTER (EOC)**: A site from which response teams/officials (municipal, county, state and federal) exercise direction and control in an emergency or disaster.

**ENVIRONMENT RESTORATION:** Recreation of the critical business operations in an alternate location, including people, equipment and communications capability.

**EXECUTIVE / MANAGEMENT SUCCESSION:** A predetermined plan for ensuring the continuity of authority, decision-making, and communication in the event that key members of senior management suddenly become incapacitated, or in the event that a crisis occurs while key members of senior management are unavailable.

**EXERCISE:** An activity that is performed for the purpose of training and conditioning team members, and improving their performance. Types of exercises include: Workshops, Seminars, Discussion Based Exercise, Table Top Exercise, Simulation Exercise, Operational Exercise, and Full Scale Exercise.

**FILE SHADOWING:** The asynchronous duplication of the production database on separate media to ensure data availability, currency and accuracy. File shadowing can be used as a disaster recovery solution if performed remotely, to improve both the recovery time and recovery point objectives. SIMILAR TERMS: Data Replication, Journaling, Disk Mirroring.

**FINANCIAL IMPACT:** An operating expense that continues following an interruption or disaster, which as a result of the event cannot be offset by income and directly affects the financial position of the organization.

**FORWARD RECOVERY:** The process of recovering a database to the point of failure by applying active journal or log data to the current backup files of the database.

**HAZARD OR THREAT IDENTIFICATION:** The process of identifying situations or conditions that have the potential to cause injury to people, damage to property, or damage to the environment.

**HIGH AVAILABILITY:** Systems or applications requiring a very high level of reliability and availability. High availability systems typically operate 24x7 and usually require built in redundancy built-in redundancy to minimize the risk of downtime due to hardware and/or telecommunication failures.

**HIGH-RISK AREAS:** Heavily populated areas, particularly susceptible to high-intensity earthquakes, floods, tsunamis, or other disasters, for which emergency response may be necessary in the event of a disaster.

**HOTSITE:** An alternate facility that already has in place the computer, telecommunications, and environmental infrastructure required to recover critical business functions or information systems.

**HUMAN THREATS:** Possible disruptions in operations resulting from human actions. (i.e., disgruntled employee, terrorism, blackmail, job actions, riots, etc.)

**INCIDENT COMMANDER:** The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

**INCIDENT MANAGEMENT TEAM:** The appropriate Command and General Staff personnel assigned to an incident.

**INCIDENT OBJECTIVES:** Statements of guidance and direction necessary for selecting appropriate strategy(s) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

**INITIAL ACTION:** The actions taken by those responders first to arrive at an incident site.

**INITIAL RESPONSE:** Resources initially committed to an incident.

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

**INCIDENT COMMAND SYSTEM (ICS):** Combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure with responsibility for management of assigned resources to effectively direct and control the response to an incident. Intended to expand, as situation requires larger resources, without requiring new, reorganized command structure.

**INCIDENT RESPONSE:** The response of an organization to a disaster or other significant event that may significantly impact the organization, its people, or its ability to function productively. An incident response may include evacuation of a facility, initiating a disaster recovery plan, performing damage assessment, and any other measures necessary to bring an organization to a more stable status.

**INTEGRATED TEST:** A test conducted on multiple components of a plan, in conjunction with each other, typically under simulated operating conditions

**INTERIM SITE:** A temporary location used to continue performing business functions after vacating a recovery site and before the original or new home site can be occupied. Move to an interim site may be necessary if ongoing stay at the recovery site is not feasible for the period of time needed or if the recovery site is located far from the normal business site that was impacted by the disaster. An interim site move is planned and scheduled in advance to minimize disruption of business processes; equal care must be given to transferring critical functions from the interim site back to the normal business site.

**INTERNAL HOTSITE:** A fully equipped alternate processing site owned and operated by the organization.

**JOURNALING:** The process of logging changes or updates to a database since the last full backup. Journals can be used to recover previous versions of a file before updates were made, or to facilitate disaster recovery, if performed remotely, by applying changes to the last safe backup. SIMILAR TERMS: File Shadowing, Data Replication, Disk Mirroring.

**LAN RECOVERY:** The component of business continuity that deals specifically with the replacement of LAN equipment and the restoration of essential data and software in the event of a disaster. SIMILAR TERM: Client/ Server Recovery.

**LINE REROUTING:** A short-term change in the routing of telephone traffic, which can be planned and recurring, or a reaction to an outage situation. Many regional telephone companies offer service that allows a computer center to quickly reroute a network of dedicated lines to a backup site.

**LOSS REDUCTION:** The technique of instituting mechanisms to lessen the exposure to a particular risk. Loss reduction involves planning for, and reacting to, an event to limit its impact. Examples of loss reduction include sprinkler systems, insurance policies, and evacuation procedures.

**LOST TRANSACTION RECOVERY:** Recovery of data (paper within the work area and/or system entries) destroyed or lost at the time of the disaster or interruption. Paper documents may need to be requested or re-acquired from original sources. Data for system entries may need to be recreated or reentered.

**MISSION-CRITICAL APPLICATION**: An application that is essential to the organization’s ability to perform necessary business functions. Loss of the mission-critical application would have a negative impact on the business, as well as legal or regulatory impacts.

**MOBILE RECOVERY:** A mobilized resource purchased or contracted for the purpose of business recovery. The mobile recovery center might include: computers, workstations, telephone, electrical power, etc.

**MOCK DISASTER:** One method of exercising teams in which participants are challenged to determine the actions they would take in the event of a specific disaster scenario. Mock disasters usually involve all, or most, of the applicable teams. Under the guidance of exercise coordinators, the teams walk through the actions they would take per their plans, or simulate performance of these actions. Teams may be at a single exercise location, or at multiple locations, with communication between teams simulating actual ‘disaster mode’ communications. A mock disaster will typically operate on a compressed timeframe representing many hours, or even days.

**NATURAL THREATS:** Events caused by nature that have the potential to impact an organization.

**NETWORK OUTAGE:** An interruption in system availability resulting from a communication failure affecting a network of computer terminals, processors, and/or workstations.

**OFF-SITE STORAGE:** Alternate facility, other than the primary production site, where duplicated vital records and documentation may be stored for use during disaster recovery.

**OPERATIONAL EXERCISE:** One method of exercising teams in which participants perform some or all of the actions they would take in the event of plan activation. Operational exercises, which may involve one or more teams, are typically performed under actual operating conditions at the designated alternate location, using the specific recovery configuration that would be available in a disaster.

**OPERATIONAL IMPACT ANALYSIS:** Determines the impact of the loss of an operational or technological resource. The loss of a system, network or other critical resource may affect a number of business processes.

**OPERATIONAL TEST:** A test conducted on one or more components of a plan under actual operating conditions.

**PLAN ADMINISTRATOR:** The individual responsible for documenting recovery activities and tracking recovery progress.

**PEER REVIEW:** One method of testing a specific component of a plan. Typically, the component is reviewed for accuracy and completeness by personnel (other than the owner or author) with appropriate technical or business knowledge.

**PLAN MAINTENANCE PROCEDURES:** Maintenance procedures outline the process for the review and update of business continuity plans.

**RECIPROCAL AGREEMENT:** Agreement between two organizations (or two internal business groups) with basically the same equipment/same environment that allows each one to recover at each other’s site.

**RECOVERY:** Process of planning for and/or implementing expanded operations to address less time-sensitive business operations immediately following an interruption or disaster. 1) The start of the actual process or function that uses the restored technology and location.

**RECOVERY COORDINATOR:** An individual or group designated to coordinate or control designated recovery processes or testing. SIMILAR TERMS: Disaster Recovery Coordinator.

**RECOVERY PERIOD:** The time period between a disaster and a return to normal functions, during which the disaster recovery plan is employed.

**RECOVERY POINT OBJECTIVE (RPO):** The point in time to which systems and data must be recovered after an outage. (e.g. end of previous day's processing). RPOs are often used as the basis for the development of backup strategies, and as a determinant of the amount of data that may need to be recreated after the systems or functions have been recovered.

**RECOVERY TIME OBJECTIVE (RTO):** The period of time within which systems, applications, or functions must be recovered after an outage (e.g. one business day). RTOs are often used as the basis for the development of recovery strategies, and as a determinant as to whether or not to implement the recovery strategies during a disaster situation. SIMILAR TERMS: Maximum Allowable Downtime.

**RECOVERY TEAM:** A group of individuals responsible for maintaining the business recovery procedures and coordinating the recovery of business functions and processes. SIMILAR TERMS: Disaster Recovery Team

**RECOVERY TIMELINE:** The chronological sequence of recovery activities, or critical path, which must be followed to resume an acceptable level of operations following a business interruption. This timeline may range from minutes to weeks, depending upon the recovery requirements and methodology.

**RECOVERY SERVICES CONTRACT:** A contract with an external organization guaranteeing the provision of specified equipment, facilities, or services, usually within a specified time period, in the event of a business interruption. A typical contract will specify a monthly subscription fee, a declaration fee, usage costs, method and amount of testing, termination options, penalties and liabilities, etc.

**RECOVERY STRATEGY:** An approach by an organization that will ensure its recovery and continuity in the face of a disaster or other major outage. Plans and methodologies are determined by the organizations strategy. There may be more than one methodology or solution for an organizations strategy. Examples of methodologies and solutions include, contracting for Hot-Site or Cold-Site, building an internal Hot-Site or Cold-Site, identifying an Alternate Work Area, a Consortium or Reciprocal Agreement, contracting for Mobile Recovery or Crate and Ship, and many others.

**RESPONSE:** The reaction to an incident or emergency to assess the damage or impact and to ascertain the level of containment and control activity required. In addition to addressing matters of life safety and evacuation, Response also addresses the policies, procedures and actions to be followed in the event of an emergency. 1) The step or stage that immediately follows a disaster event where actions begin as a result of the event having occurred. SIMILAR TERMS: Emergency Response, Disaster Response, Immediate Response, and Damage Assessment.

**RESTORATION:** Process of planning for and/or implementing procedures for the repair or relocation of the primary site and its contents, and for the restoration of normal operations at the primary site.

**RESUMPTION:** The process of planning for and/or implementing the restarting of defined business operations following a disaster, usually beginning with the most critical or time sensitive functions and continuing along a planned sequence to address all identified areas required by the business. 1) The step or stage after the impacted infrastructure, data, communications and environment has been successfully re-established at an alternate location.

**RISK:** Potential for exposure to loss. Risks, either man-made or natural, are constant. The potential is usually measured by its probability in years.

**RISK ASSESSMENT / ANALYSIS:** Process of identifying the risks to an organization, assessing the critical functions necessary for an organization to continue business operations, defining the controls in place to reduce organization exposure and evaluating the cost for such controls. Risk analysis often involves an evaluation of the probabilities of a particular event.

**RISK MITIGATION:** Implementation of measures to deter specific threats to the continuity of business operations, and/or respond to any occurrence of such threats in a timely and appropriate manner.

**SALVAGE & RESTORATION:** The process of reclaiming or refurbishing computer hardware, vital records, office facilities, etc. following a disaster.

**SIMULATION EXERCISE:** One method of exercising teams in which participants perform some or all of the actions they would take in the event of plan activation. Simulation exercises, which may involve one or more teams, are performed under conditions that at least partially simulate ‘disaster mode’. They may or may not be performed at the designated alternate location, and typically use only a partial recovery configuration.

**STANDALONE TEST:** A test conducted on a specific component of a plan, in isolation from other components, typically under simulated operating conditions.

**STRUCTURED WALKTHROUGH:** One method of testing a specific component of a plan. Typically, a team member makes a detailed presentation of the component to other team members (and possibly non-members) for their critique and evaluation.

**SUBSCRIPTION:** Contract commitment that provides an organization with the right to utilize a vendor recovery facility for processing capability in the event of a disaster declaration.

**SYSTEM DOWNTIME:** A planned or unplanned interruption in system availability.

**TABLE TOP EXERCISE:** One method of exercising teams in which participants review and discuss the actions they would take per their plans, but do not perform any of these actions. The exercise can be conducted with a single team, or multiple teams, typically under the guidance of exercise facilitators.

**TEST:** An activity that is performed to evaluate the effectiveness or capabilities of a plan relative to specified objectives or measurement criteria. Types of tests include: Desk Check, Peer Review, Structured Walkthrough, Standalone Test, Integrated Test, and Operational Test.

**TEST PLAN:** A document designed to periodically exercise specific action tasks and procedures to ensure viability in a real disaster or severe outage situation.

**UNINTERTUPTIBLE POWER SUPPLY (UPS):** A backup supply that provides continuous power to critical equipment in the event that commercial power is lost.

**UNIT RECOVERY:** The component of Disaster Recovery which deals specifically with the relocation of a key function or department in the event of a disaster, including personnel, essential records, equipment supplies, work space, communication facilities, work station computer processing capability, fax, copy machines, mail services, etc. SIMILAR TERMS: Work Group Recovery.

**VITAL RECORD:** A record that must be preserved and available for retrieval if needed.

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**Appendix B: Acronyms**

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**For Official Use Only**

AAR After Action Report

CGC Continuity Guidance Circular

CI/KR Critical Infrastructure/Key Resources

CIRT Computer Incident Response Team

COG Continuity of Government

CONOPS Concept of Operations

COOP Continuity of Operations

CSWC California State Warning Center

DHS U.S. Department of Homeland Security

DOC Department Operations Center

DRP Disaster Recovery Plan

EDO Executive Duty Officer

EEG Exercise Evaluation Guidelines

EM Emergency Management

EOC Emergency Operations Center

ERG/ERT Emergency Relocation Group/Emergency Relocation Team

ESF Emergency Support Function

EXPLAN Exercise Plan

FCD Federal Continuity Directive

FEMA Federal Emergency Management Agency

GIS Geographic Information Systems

HAZMAT Hazardous Materials

HQ Headquarters

HSEEP Homeland Security Exercise and Evaluation Program

HSIN Homeland Security Information Network

HW Hot Wash

ICS Incident Command System

IP Improvement Plan

IT Information Technology

MEF Mission Essential Functions

MIU Mobile Interoperability Unit

MIGU Mobile Interoperability Gateway Unit

MOB Management by Objective

MOU Memorandum of understanding

NIPP National Infrastructure Protection Program

NRF National Response Framework

NIMS National Incident Management System

OA Operational Area

**OASIS O**perational Area Satellite Information System

PI Public Information

PIO Public Information Office

PS Public Safety

REOC Regional Emergency Operations Center

SAT Senior Activation Team

SitMan Situation Manual

SEF State Essential Functions

SEP State Emergency Plan

SEMS State Emergency Management System

SOC State Operations Center

SME Subject Matter Expert

SOP Standard Operating Procedure

TCL Target Capabilities List

T-COMM Tele-Communications

TT&E Test, Training and Exercise

TTX Tabletop exercise

UTL Unified Task List