

Introduction

The purpose of a continuity plan and program is to ensure that an organization can perform its essential functions and provide critical services no matter the threat or hazard faced. Developing continuity metrics and then evaluating and assessing continuity plans and programs against these metrics is an important step for planners and managers.

The CPAT uses a 10-point scoring system and provides a tool to assess your continuity plan and program against the requirements for a viable continuity program as outlined in the Continuity Guidance Circular (CGC). The CPAT can assist your organization in identifying areas of strength, areas for improvement, best practices, and lessons learned.

The goal of the CPAT evaluation system is to allow an organization to demonstrate progress from one assessment to the next. Following the submittal of this assessment survey, you will receive a PDF breakdown of the assessment and its corresponding scores based on your imputed answers. The numerical score will be matched with red, yellow, and green fields to visually associate areas in which the organization has made no or limited progress (red), moderate progress (yellow), and substantial progress (green).

Ideally, an organization should have mostly green and few yellow/red areas to ensure a comprehensive continuity program exists to support the performance of the organization's essential functions during under all conditions. By examining areas for improvement and areas of strength, organizations can better prioritize, and resource, continuity needs and gaps.

Instructions

Who?

- Continuity Team - Continuity Coordinator, Continuity Manager, and Continuity Planner(s), and internal / external continuity stakeholders.

What?

- Print the CPAT (Name of Doc) document and have each continuity team member develop their individual answers separately. Once each team member has completed a separate assessment with relevant stakeholders, discuss each other's answers and input the final decided upon answers into the assessment.

When?

- The CPAT is required on an annual basis as a method for determining whether gaps exist in the agency's continuity plan and program.
- Your agency's timeline will depend on the same date as when you're required to file a copy of its Technology Recovery Plan (TRP) with the California Department of Technology. That schedule can be found [here](#).

How?

- It is important to engage all members of the continuity team when conducting this assessment so be sure to set aside an appropriate amount of time. A proper self-assessment using the CPAT in the recommended manor should be planned for in advance of the deadline. Hours may vary based on your organizations size or structure.

- When attaching a signed copy of your agency's continuity plan to the CPAT, please be sure to join all files together into one PDF if they are not already one document.

Saving Progress

This assessment tool saves answers locally in the browser as a you progress through the survey. You can resume the survey in the same browser on the same network at later time.

Organizational Information

Agency/Department*

Continuity Coordinator

Name*

Phone Number*

Email*

Continuity Manager

Name*

Phone Number*

Email*

Continuity Planner/ Lead

Name*

Phone Number*

Email*

Attach Continuity Plan

Please attach a PDF of current or most recently approved (signed by Director) copy of your organization's continuity plan.

When attaching a signed copy of your agency's continuity plan, please be sure to join all files together into one PDF if they are not already one document. Limit 10MB total file size.*

Continuity Capability

Within the CPAT, there are three sections for evaluating your continuity program, each of which correspond to the three chapters of the CGC:

- Getting Started / Initiating a Continuity Capability
- Building a Continuity Capability
- Maintaining a Continuity Capability

Each section includes continuity activities and supporting tasks critical to that chapter. These tasks are divided according to the five solution areas found within the State Preparedness Report: Planning, Organization, Equipment, Training, and Exercises (POETE).

Through this format, an organization can identify its overall progress against the three steps of initiating, building, and maintaining a continuity capability, as well as identify its progress against the POETE elements. This summarizes the score for each organization by each POETE element and by each stage of continuity planning.

Program Assessment

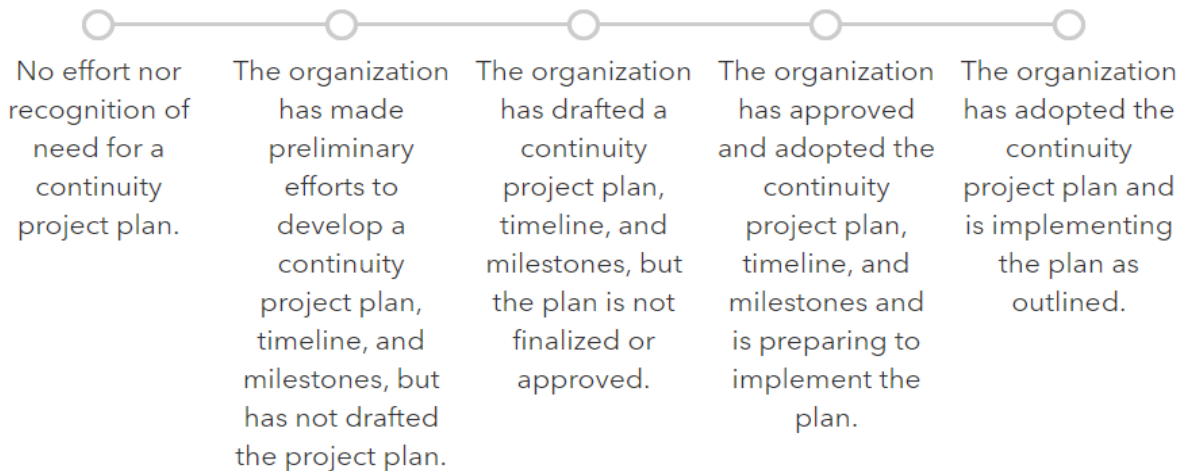
This section of the CPAT will be used to determine whether the recommended continuity program elements are addressed in your organization's Continuity Plan (or other related planning documents).

Initiating

This section examines whether the organization has addressed the foundational elements of a continuity program that will increase the success of continuity planning and operations.

Planning

1. Has the organization developed a continuity project plan to guide the development of the organization's continuity capability?*



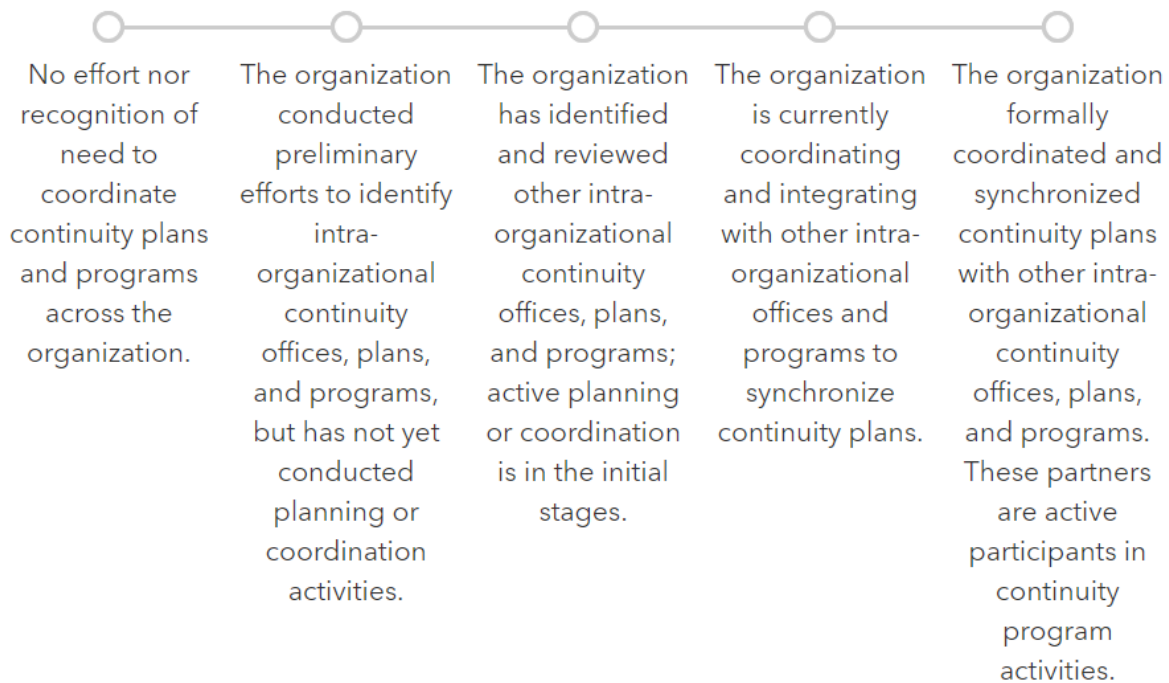
2. Has the organization identified applicable regulations and requirements to guide development of the continuity plan?*



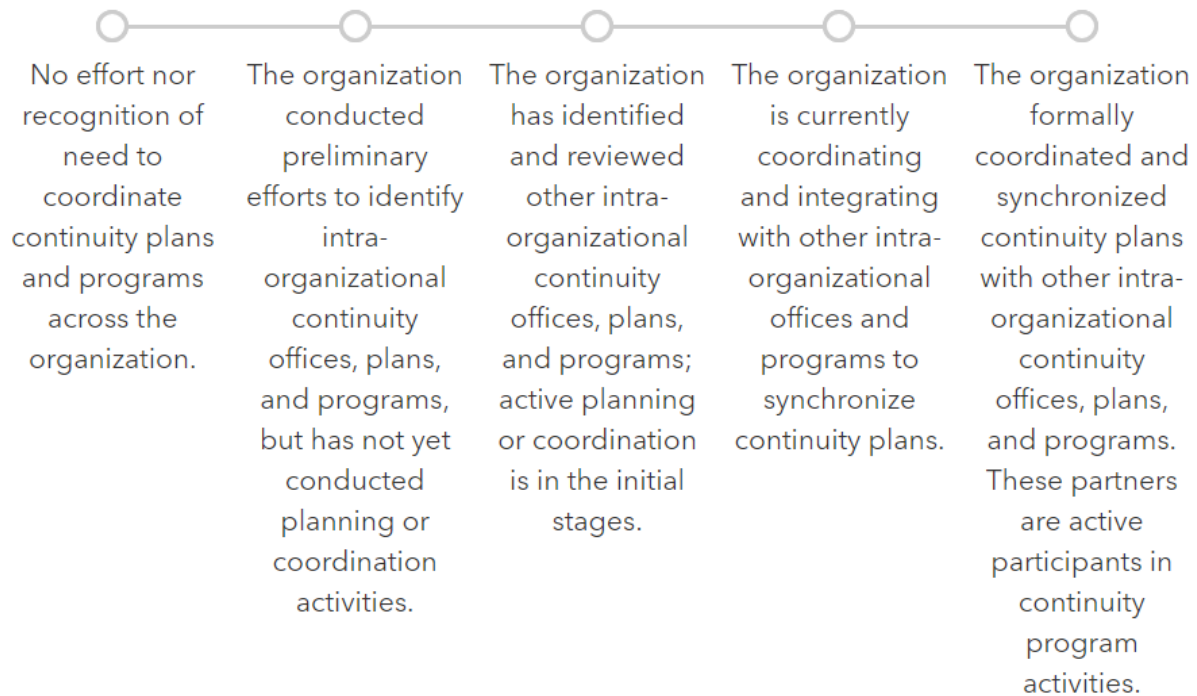
3. Has the organization integrated critical external partners into the continuity planning process?*



4. Has the organization coordinated with and integrated internal components and offices into the continuity planning process?*

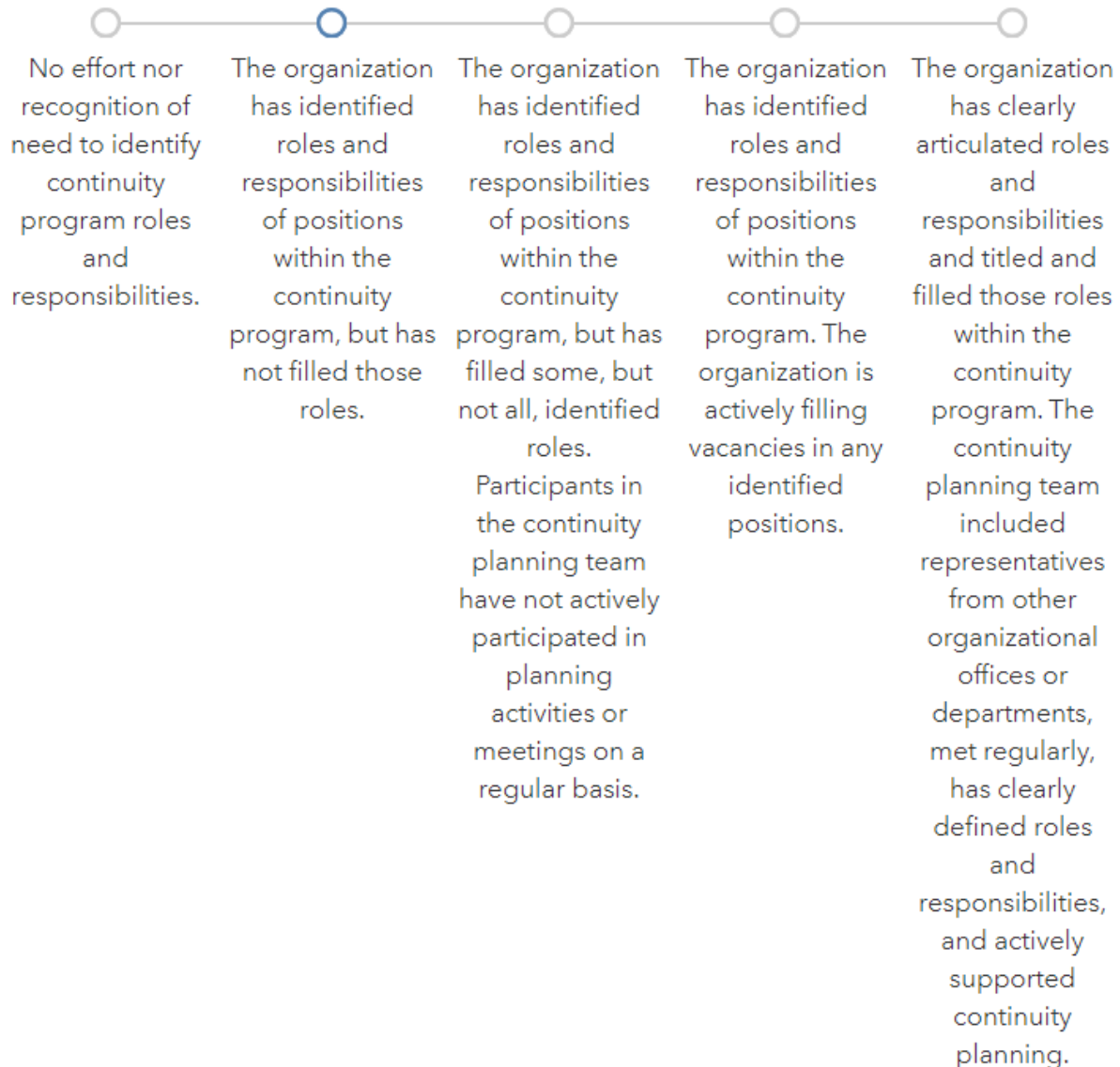


5. Has the organization coordinated the continuity planning effort with other incident management, risk management, and preparedness planning efforts, such as the Occupant Emergency Plan, Emergency Operations Plan, Information Technology/Disaster Recovery, and pandemic plan?*

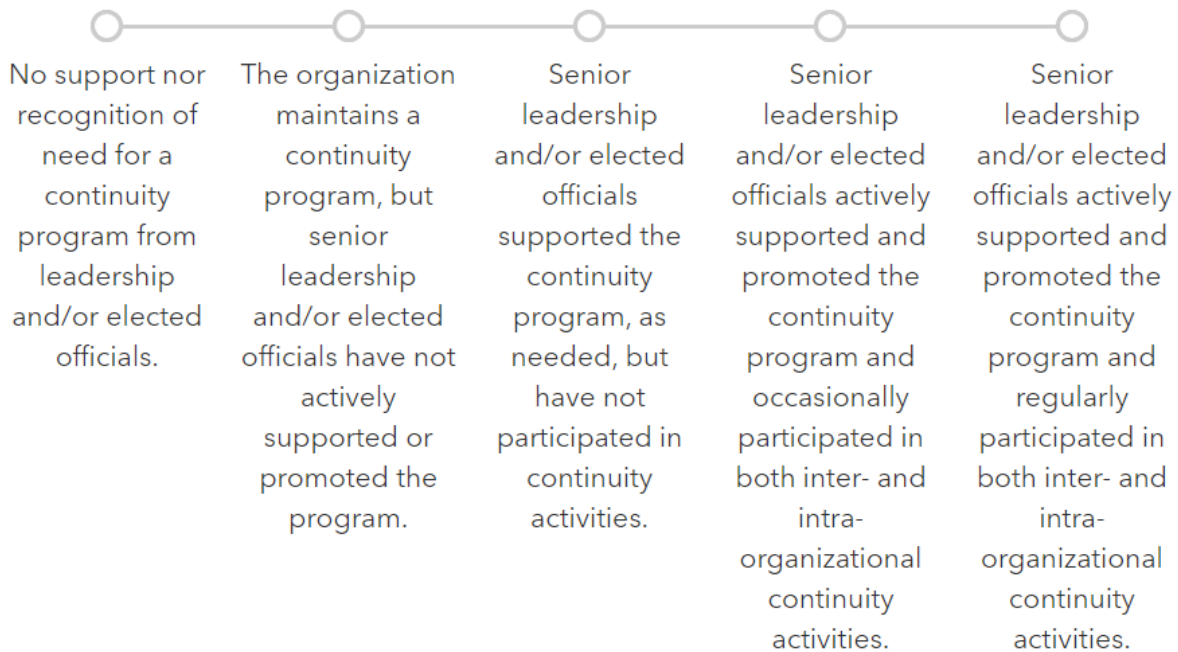


Organizing

6. Has the organization identified continuity program roles and responsibilities?*

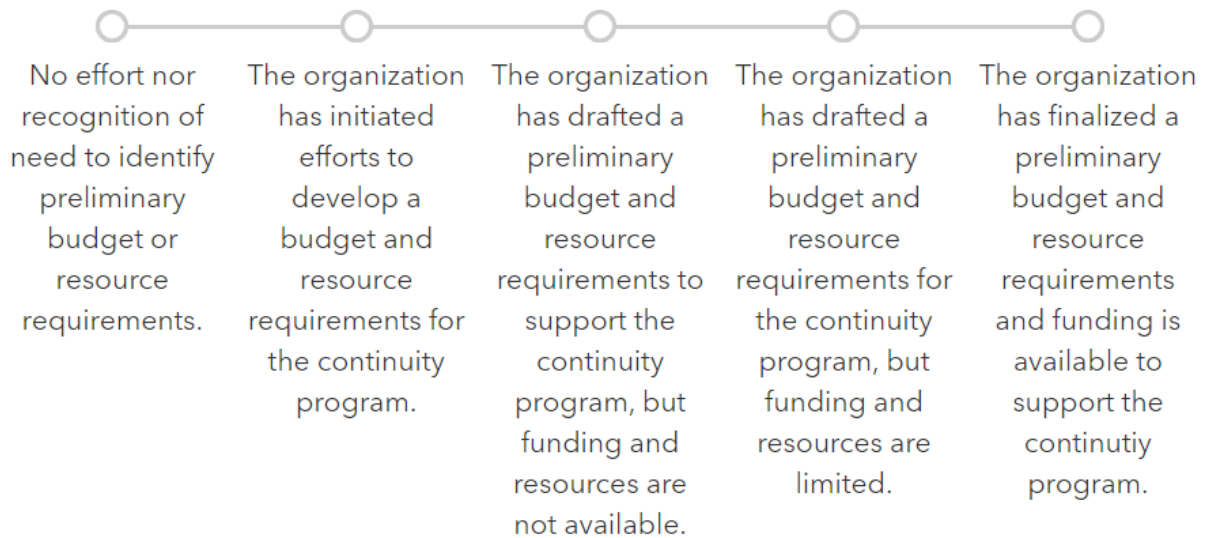


7. Has the organization's senior leadership and/or elected officials supported the continuity program?*



Equipping

8. Has the organization identified preliminary budget and resource requirements?*



Training

9. Has the organization identified continuity program roles and responsibilities?*



Exercise

10. Has the organization identified and incorporated the results from previous exercises and real-world events to guide the development of the continuity program?*



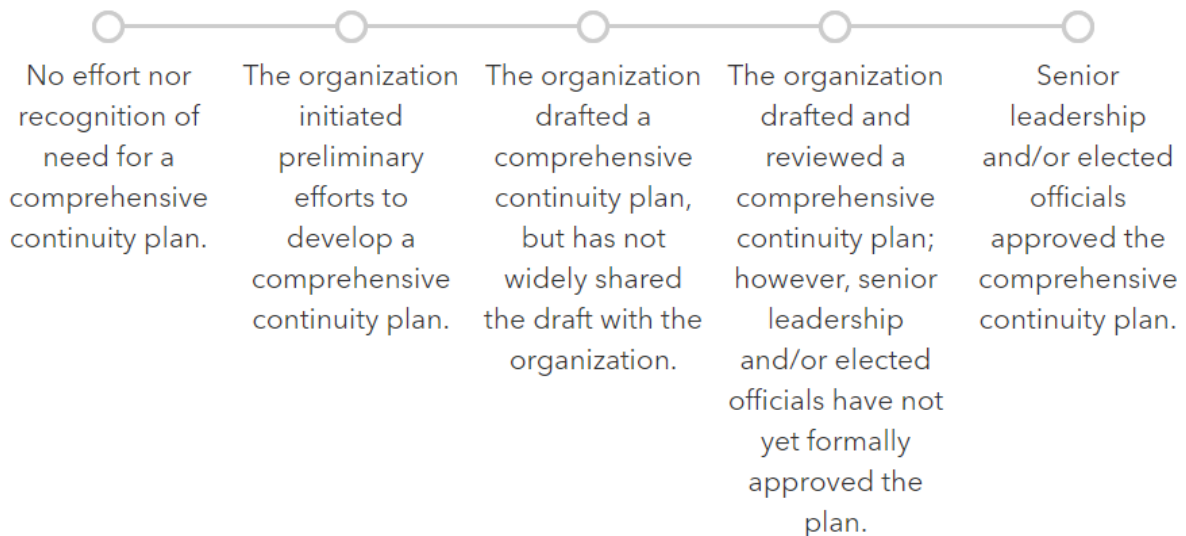
Additional Comments (255 characters)

Building

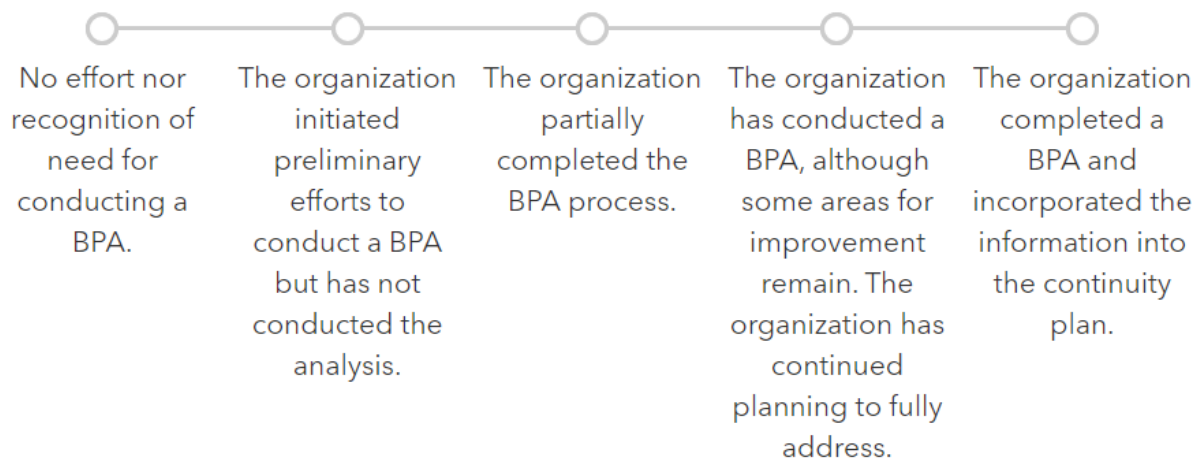
This section examines whether the organization has built a comprehensive continuity program.

Planning

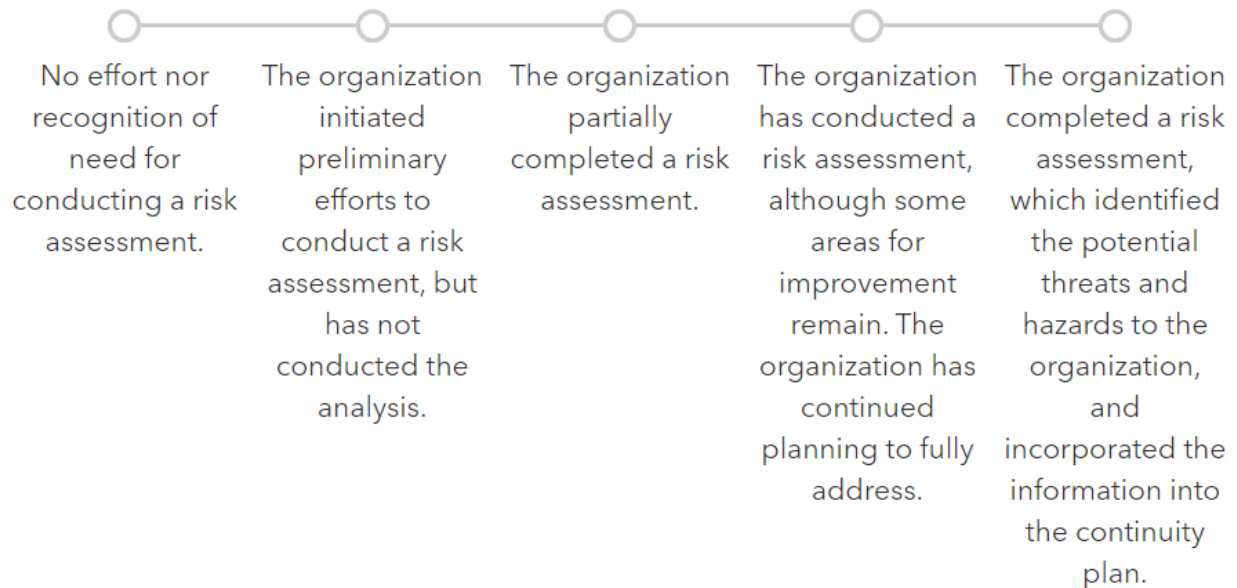
11. Has the organization developed a comprehensive continuity plan?*



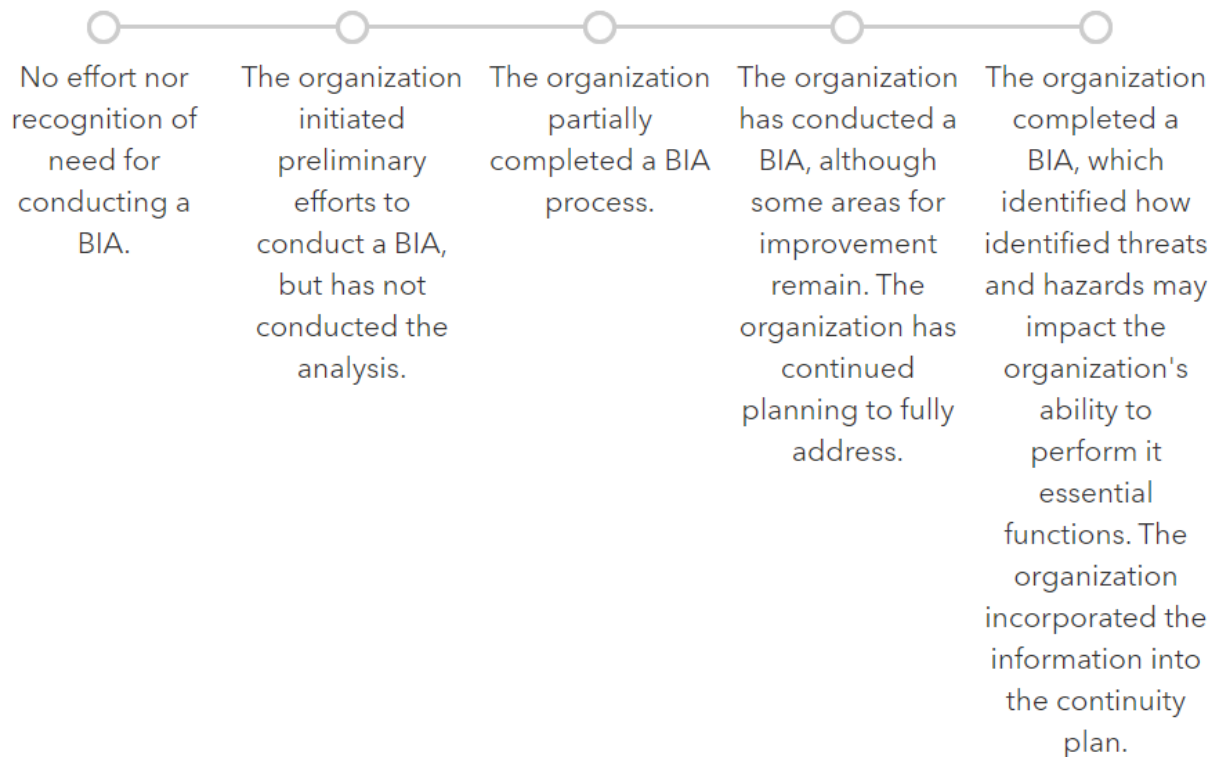
12. Has the organization conducted a Business Process Analysis (BPA)?*



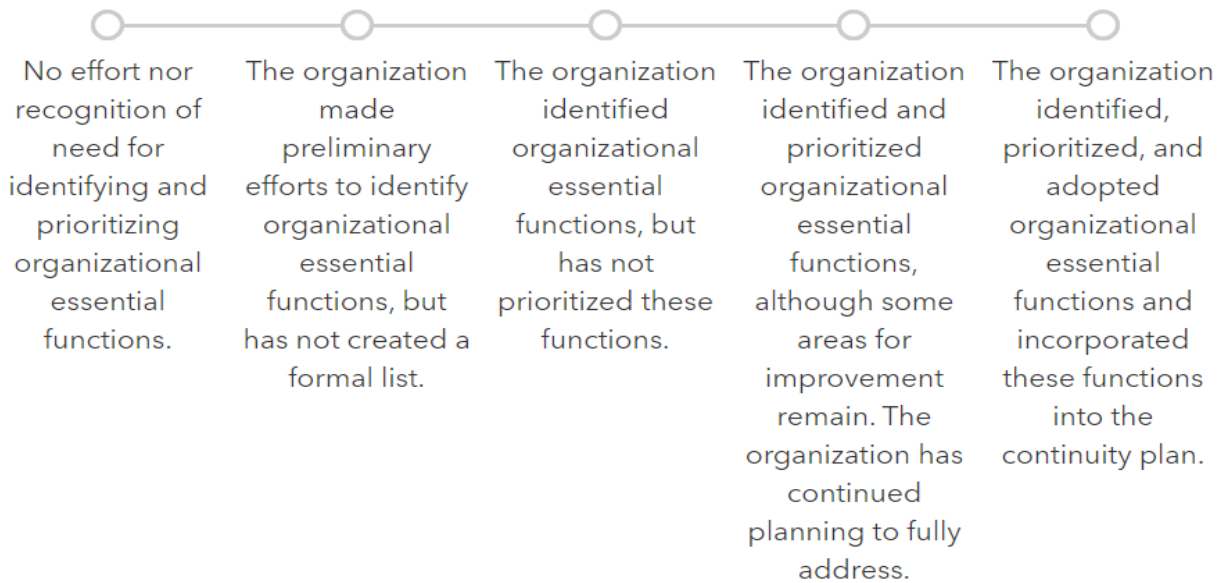
13. Has the organization conducted a risk assessment?*



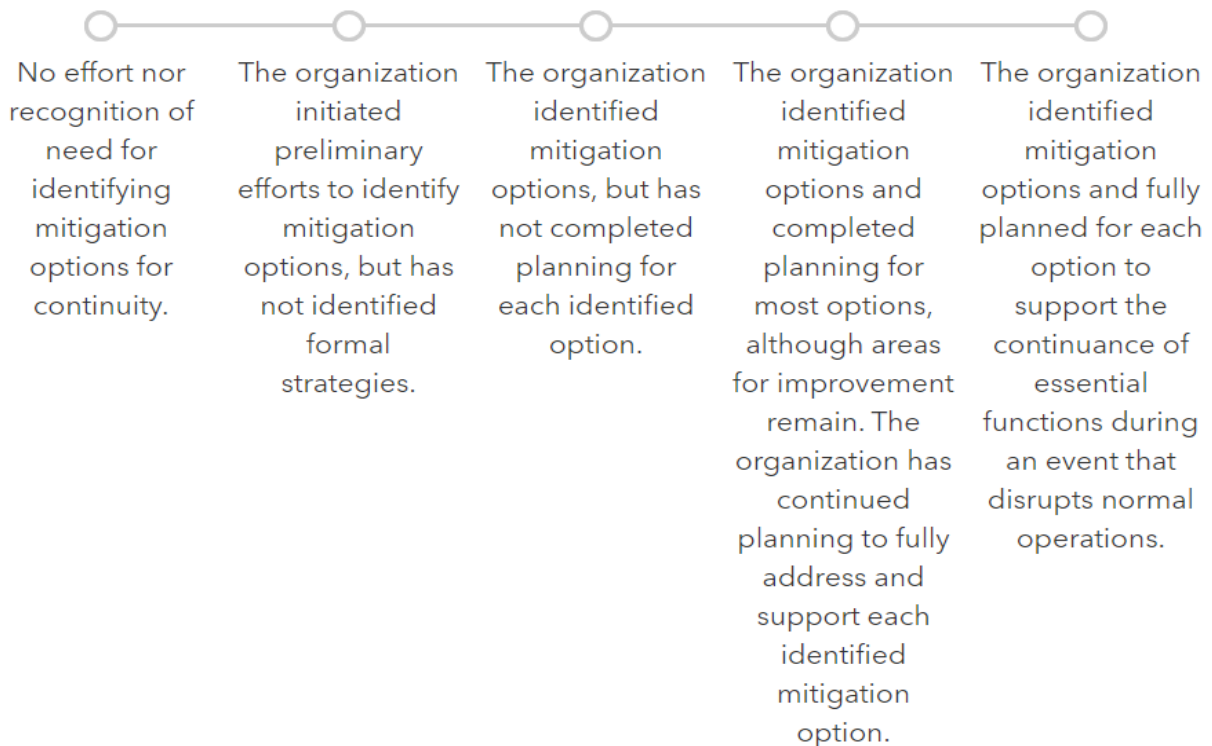
14. Has the organization conducted a Business Impact Analysis (BIA)?*



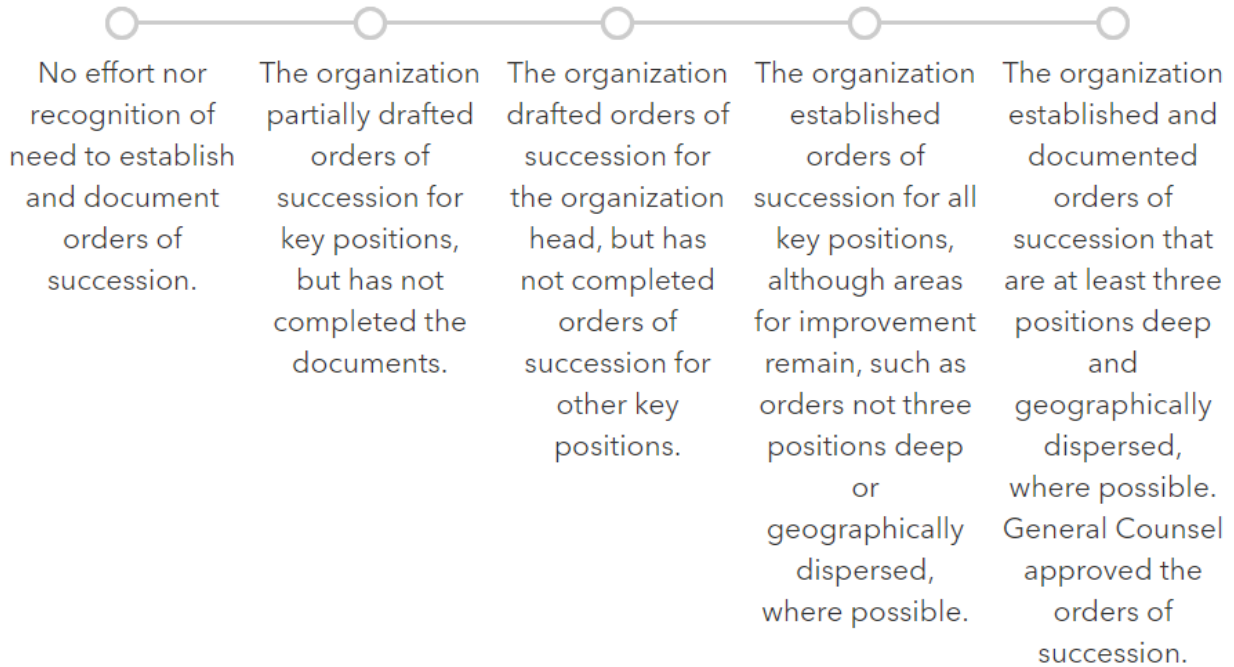
15. Has the organization identified and prioritized the essential functions that it must continue to perform during a continuity event?*



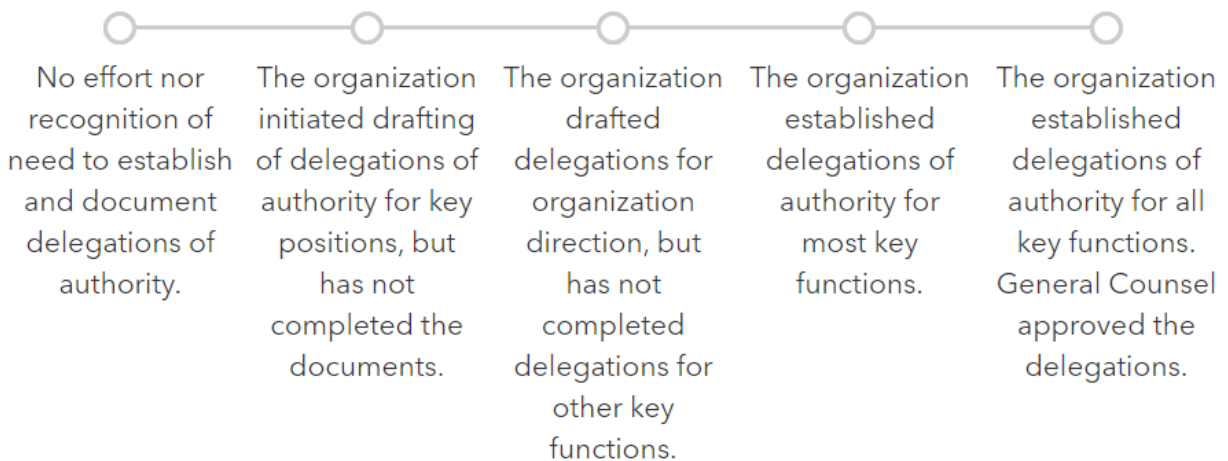
16. Has the organization identified and planned for mitigation options to support the continuance of essential functions, such as identifying alternate sites, teleworking, developing devolution plans, or entering into mutual aid agreements?*




17. Has the organization established and documented orders of succession to ensure an orderly and predefined transition of leadership?*



18. Has the organization established and documented delegations of authority to make key decisions, conduct essential functions, and direct the organization?*



19. Has the organization clearly explained the expectations, roles, and responsibilities for all personnel during a continuity plan activation?*



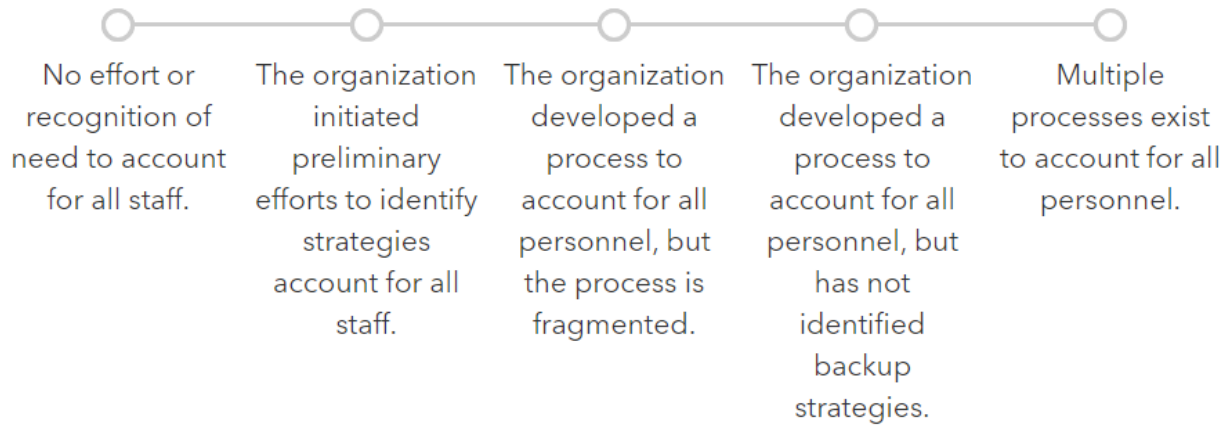
No effort nor recognition of need to explain the expectations, roles, and responsibilities for personnel.	The organization initiated drafting of expectations, roles, and responsibilities, but has not completed the effort.	The organization clearly explained the expectations, roles, and responsibilities in writing for continuity personnel, but has not completed for all staff.	The organization clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated, but has not completed notification of all personnel.	The organization clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated and disseminated this information to all staff.
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20. Has the organization implemented a strategy to communicate the organization's operating status to all staff and with external stakeholders?*

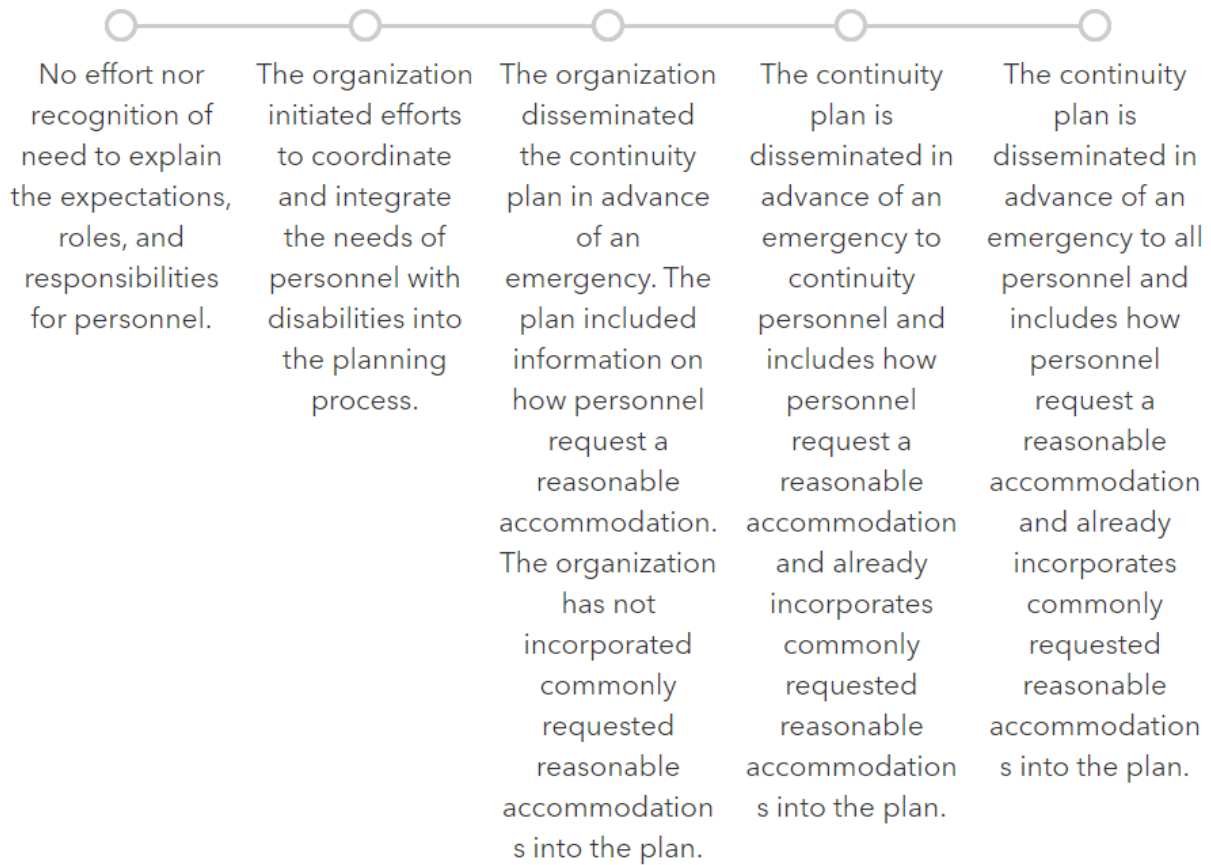


No effort nor recognition of need to implement strategies to communicate with staff and stakeholders.	The organization initiated preliminary efforts to identify strategies to communicate with staff and stakeholders.	The organization developed a strategy to communicate instructions, operating status, and other information with some stakeholders, but not all.	The organization developed a process to communicate instructions, operating status, and other information with all personnel and external stakeholders, but backup strategies are not identified.	The organization developed multiple strategies to communicate instructions, operating status, and other information with all personnel and external stakeholders.
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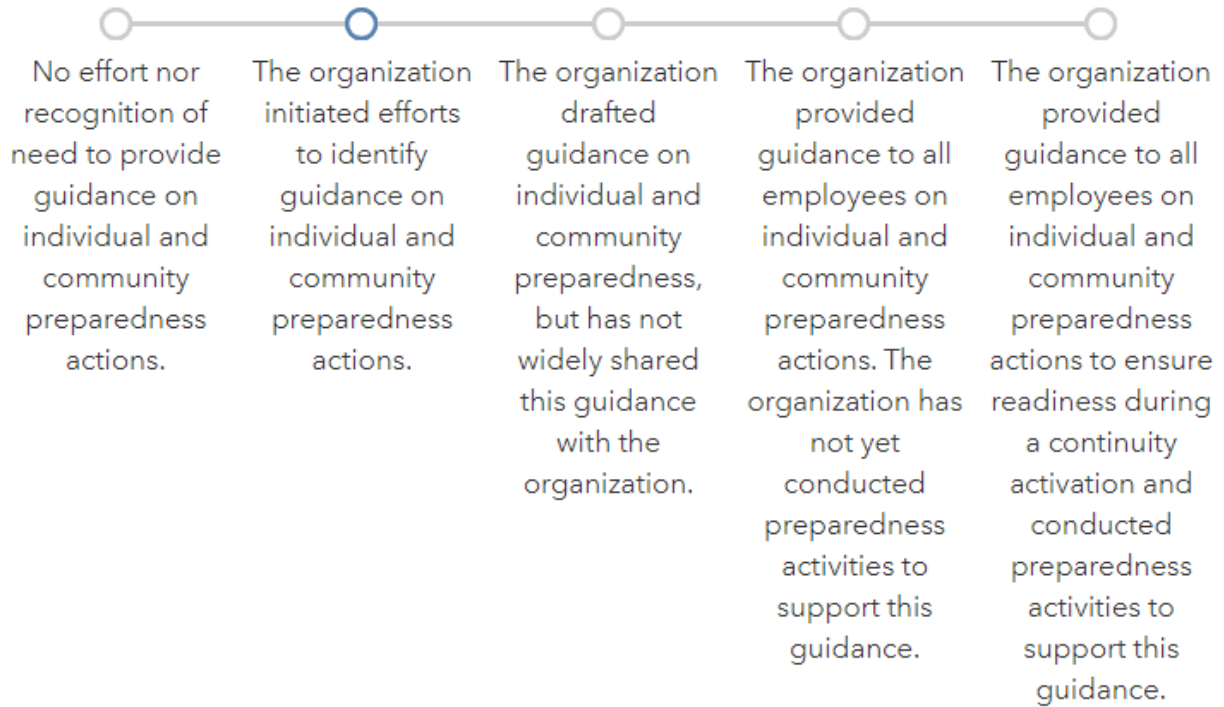
21. Has the organization implemented a process to account for all staff, including contractors, in the event of an emergency?*



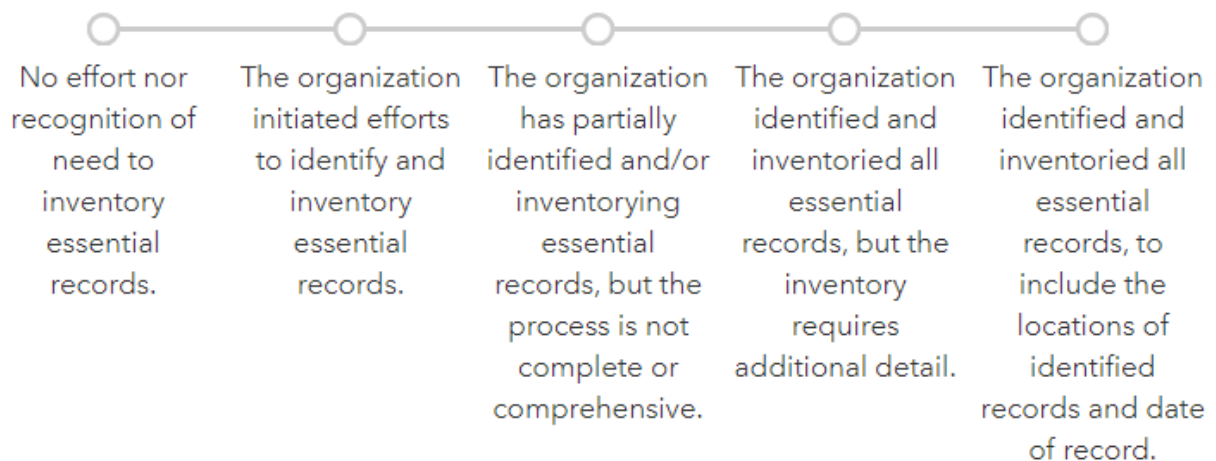
22. Has the organization ensured the needs of personnel with disabilities are considered during the continuity planning process?*



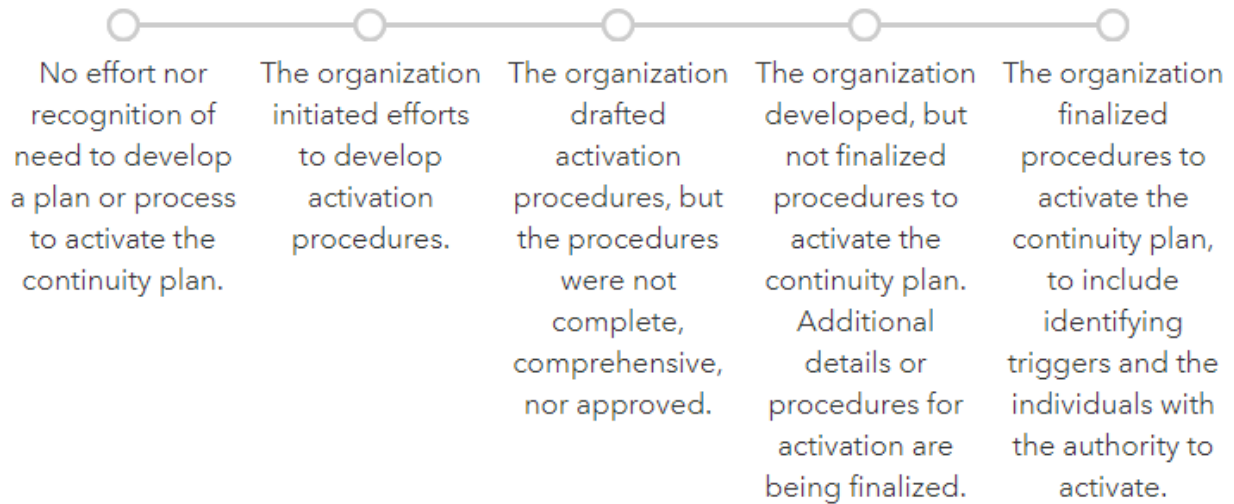
23. Has the organization provided guidance to employees on individual and community preparedness actions to ensure readiness during a continuity activation?*



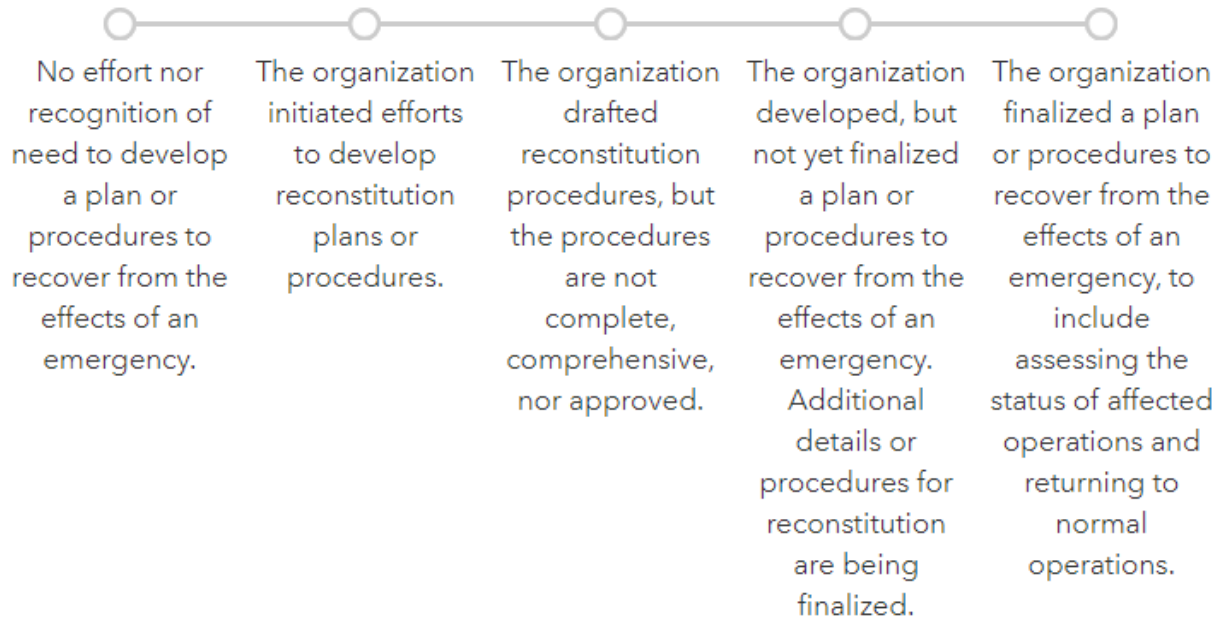
24. Has the organization identified and inventoried essential records, including emergency operating records and legal and financial rights records?*



25. Has the organization developed a plan or procedures to activate your continuity plan?*



26. Has the organization developed a plan or procedures to recover from the effects of an emergency and transitioning back to normal operations after a continuity activation?*

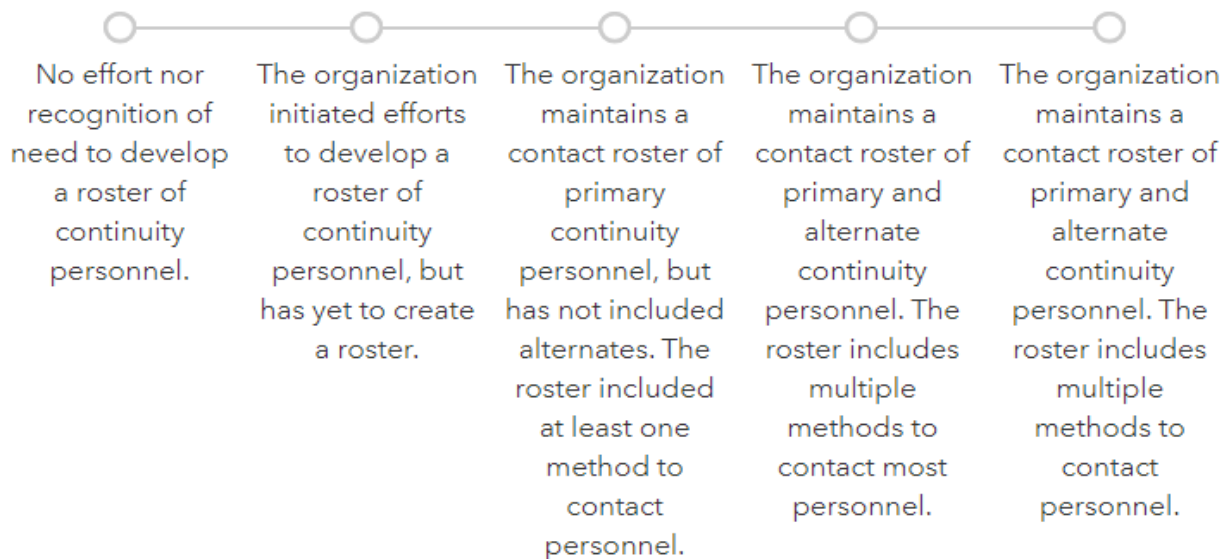


Organizing

27. Has the organization identified continuity personnel who would support the performance of essential functions during a continuity plan activation?*



28. Has the organization established an appropriate point-of-contact rosters of trained continuity personnel?*

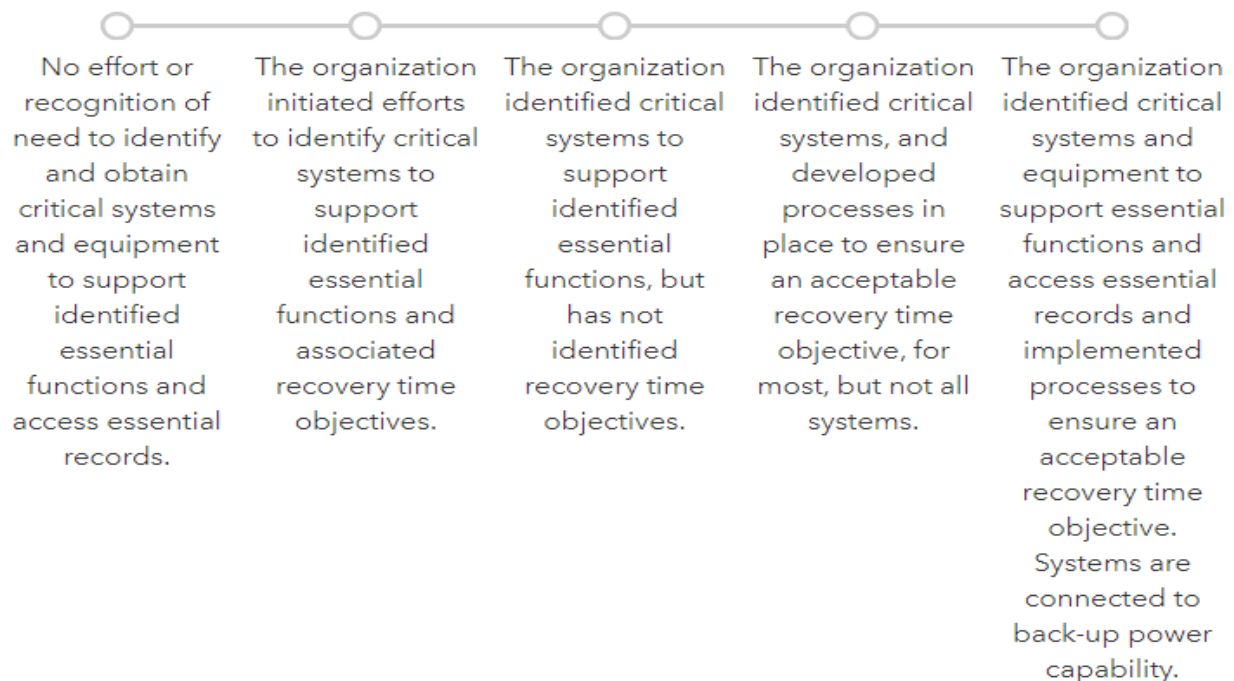


Equipping

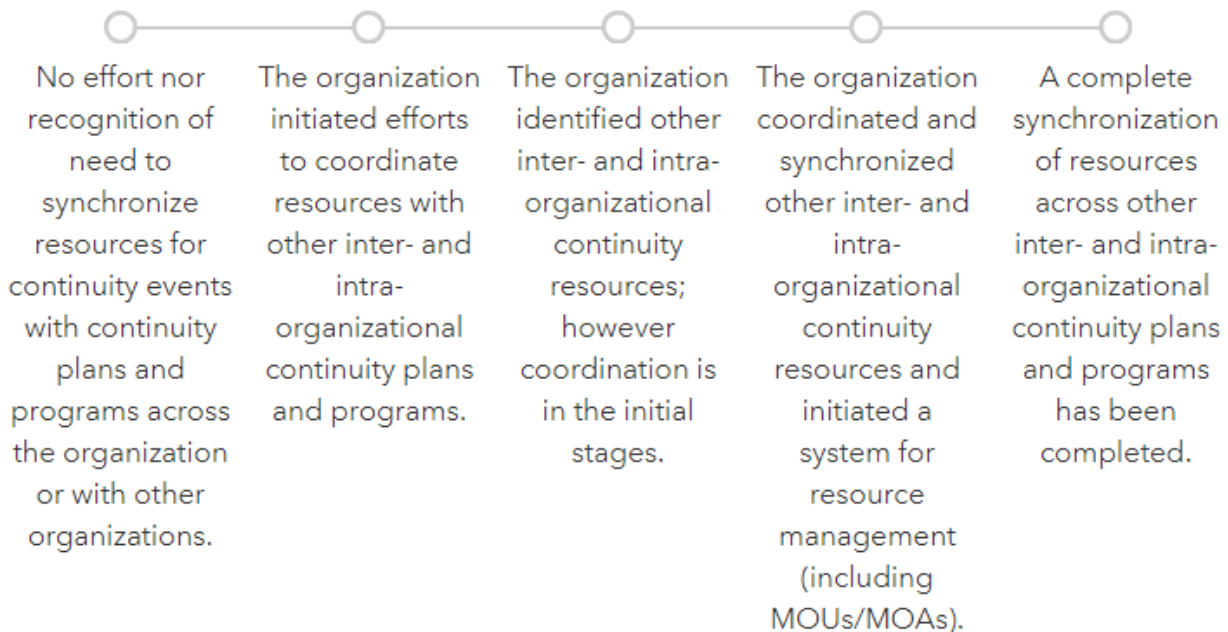
29. Has the organization identified and implemented interoperable and available communications capabilities for the performance of essential functions?*



30. Has your organization identified critical systems and equipment and associated recovery time objectives to support identified essential functions and access essential records?*

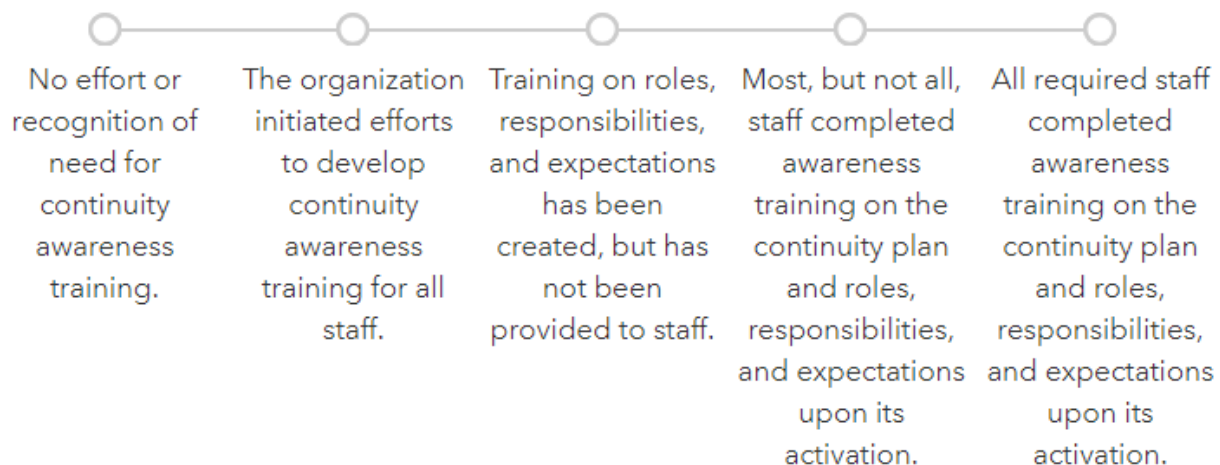


31. Has your organizational continuity program synchronized resources to support continuity events with other continuity plans and programs (both internally and externally)?*




Training

32. Have all staff members completed continuity awareness training?*




33. Has the organization trained continuity personnel on continuity plans and strategies?*



No effort nor recognition of need to conduct training for continuity personnel.	The organization has not provided formal training provided to continuity personnel; the organization initiated efforts to prepare necessary training.	The organization has conducted some training of primary and alternate continuity personnel, to include leadership and/or elected officials.	Most primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training.	All primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training.
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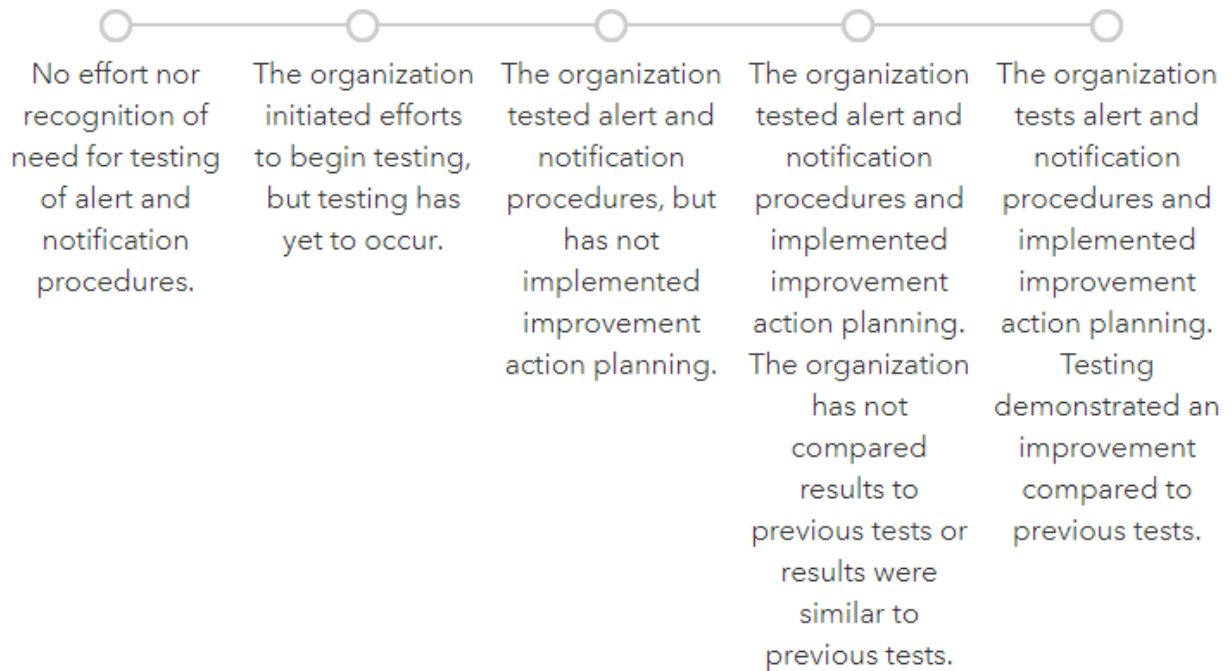
34. Has continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally)?*



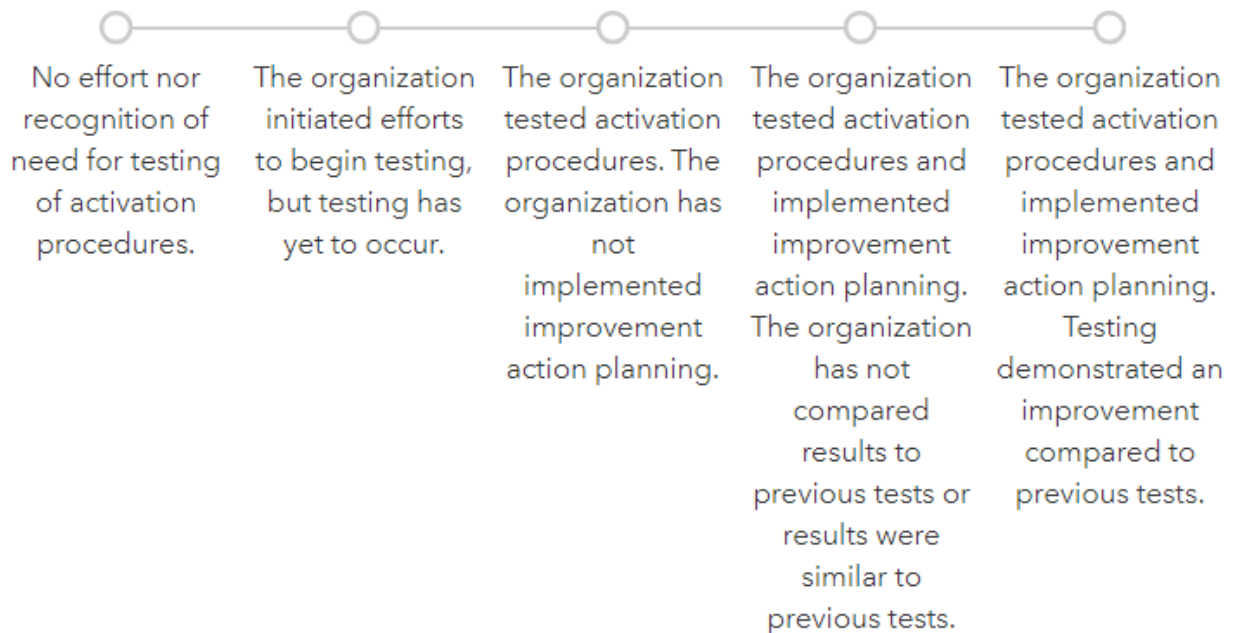
No effort nor system underway nor recognition of need to synchronize or coordinate continuity training programs with other inter- and intra-organizational continuity programs.	The organization initiated efforts to identify necessary training on other inter- and intra-organizational continuity plans and programs.	Plans to conduct training on the synchronization of inter- and intra-organizations continuity plans and programs has been drafted, but training has not been conducted.	The organization conducted training on the synchronization of inter- and intra-organizations continuity plans and programs, but not all continuity personnel were trained.	The organization trained all continuity planning team members on other inter- and intra-organizational continuity programs.
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Exercise

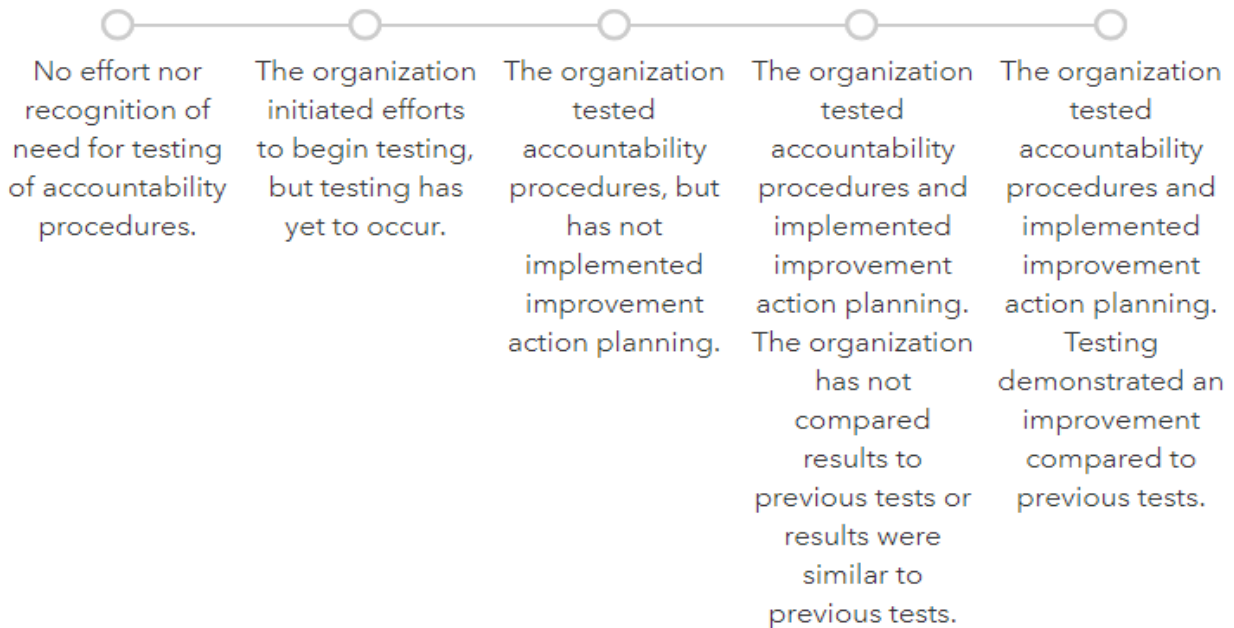
35. Has the organization conducted testing of alert and notification procedures?*



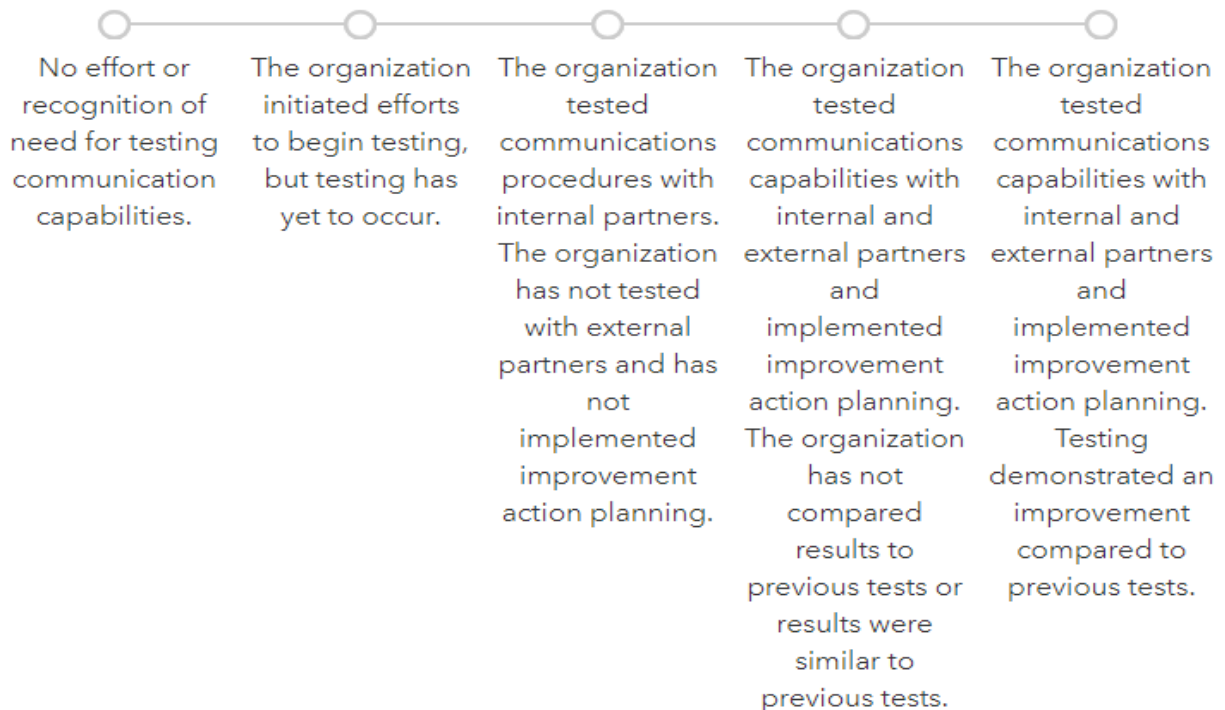
36. Has the organization conducted testing of activation procedures?*



37. Has the organization conducted testing of accountability procedures?*

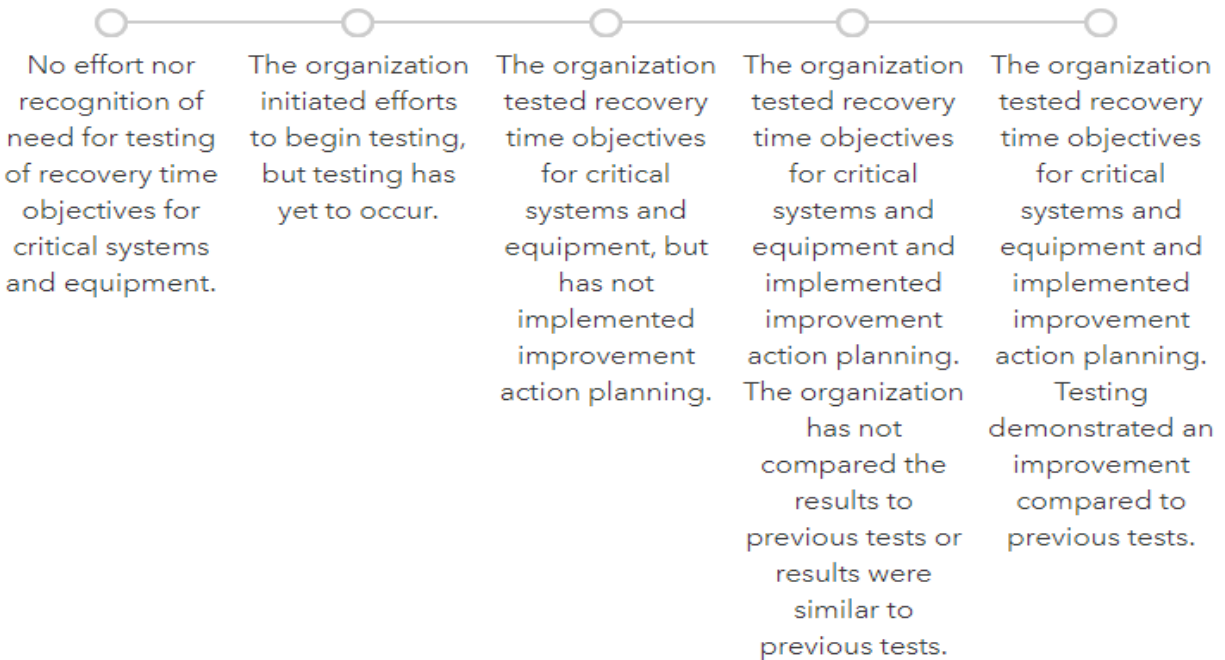


38. Has the organization conducted testing of the interoperable and available communications capabilities that support identified essential functions?*

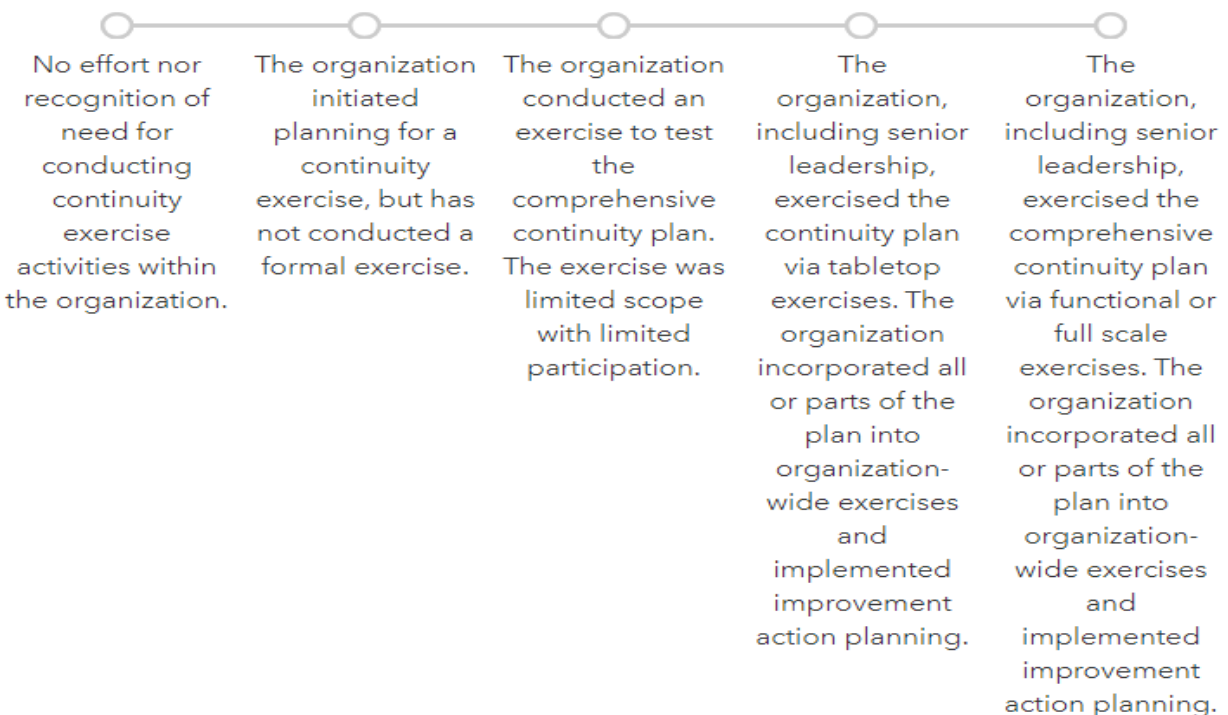


39. Has the organization conducted testing of critical systems and equipment and strategies to meet associated recovery time objectives?

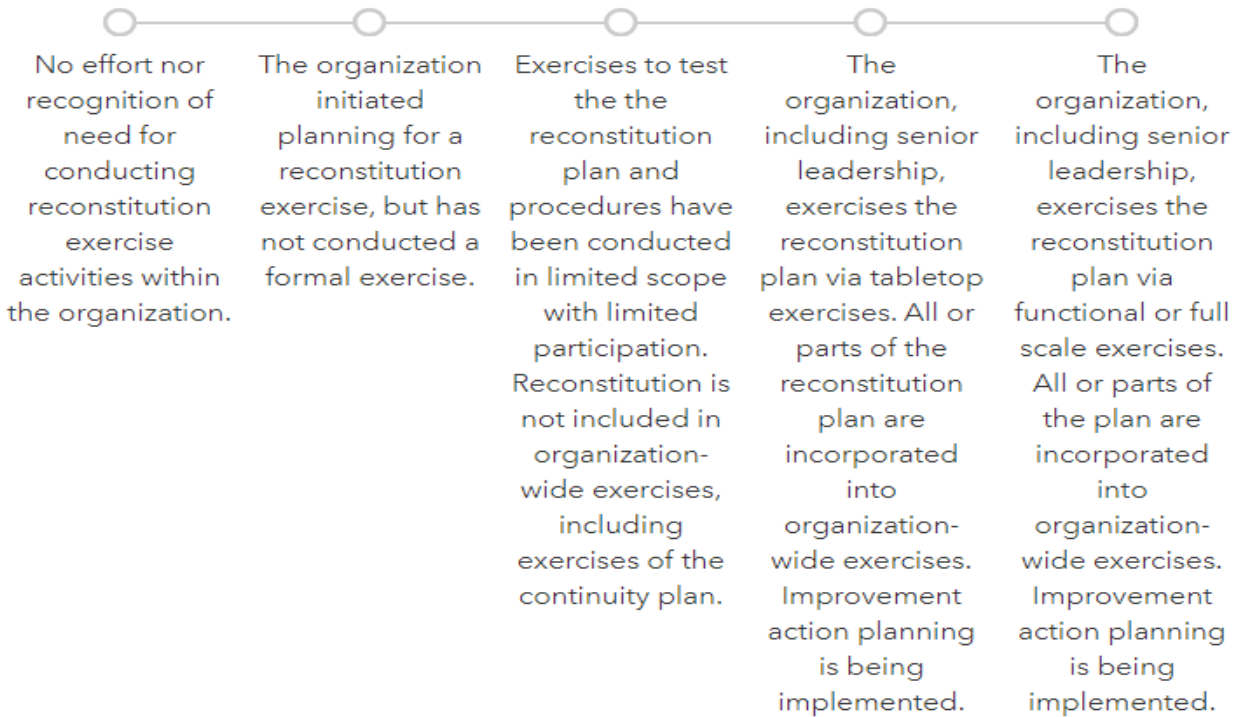
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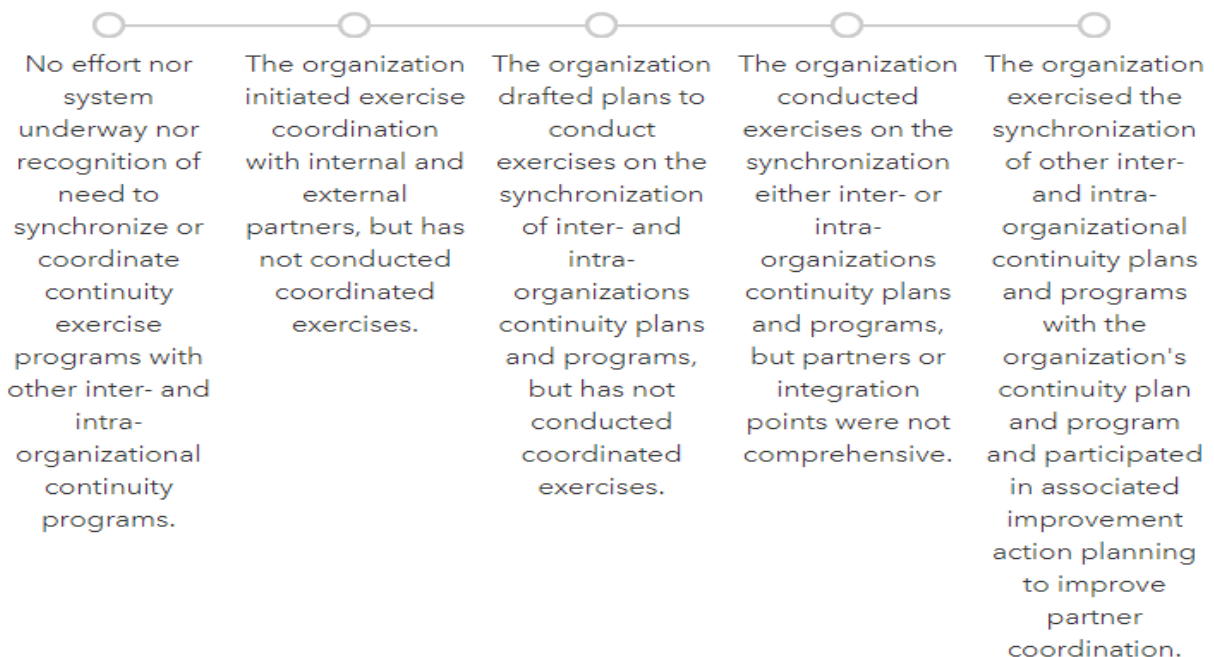
40. Has the organization regularly conducted organization-wide continuity exercises that include exercising of mitigation options that support the continuance of essential functions?*



41. Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after a continuity activation?*



42. Has the organization exercised with internal and external partners to coordinate continuity plans and programs?*



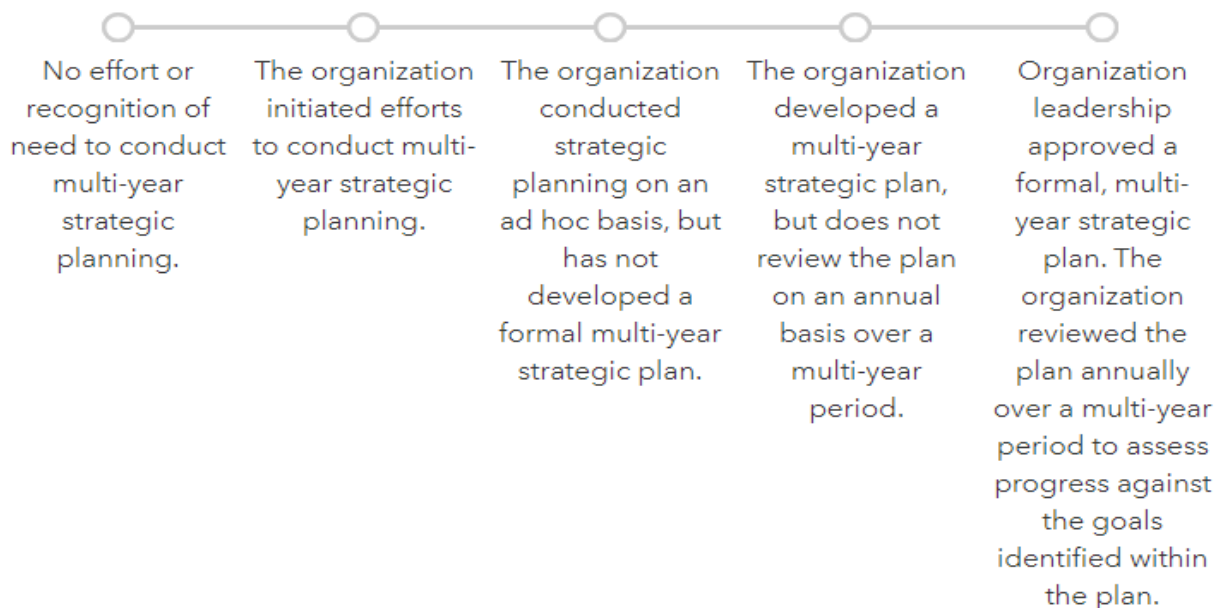
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Maintaining

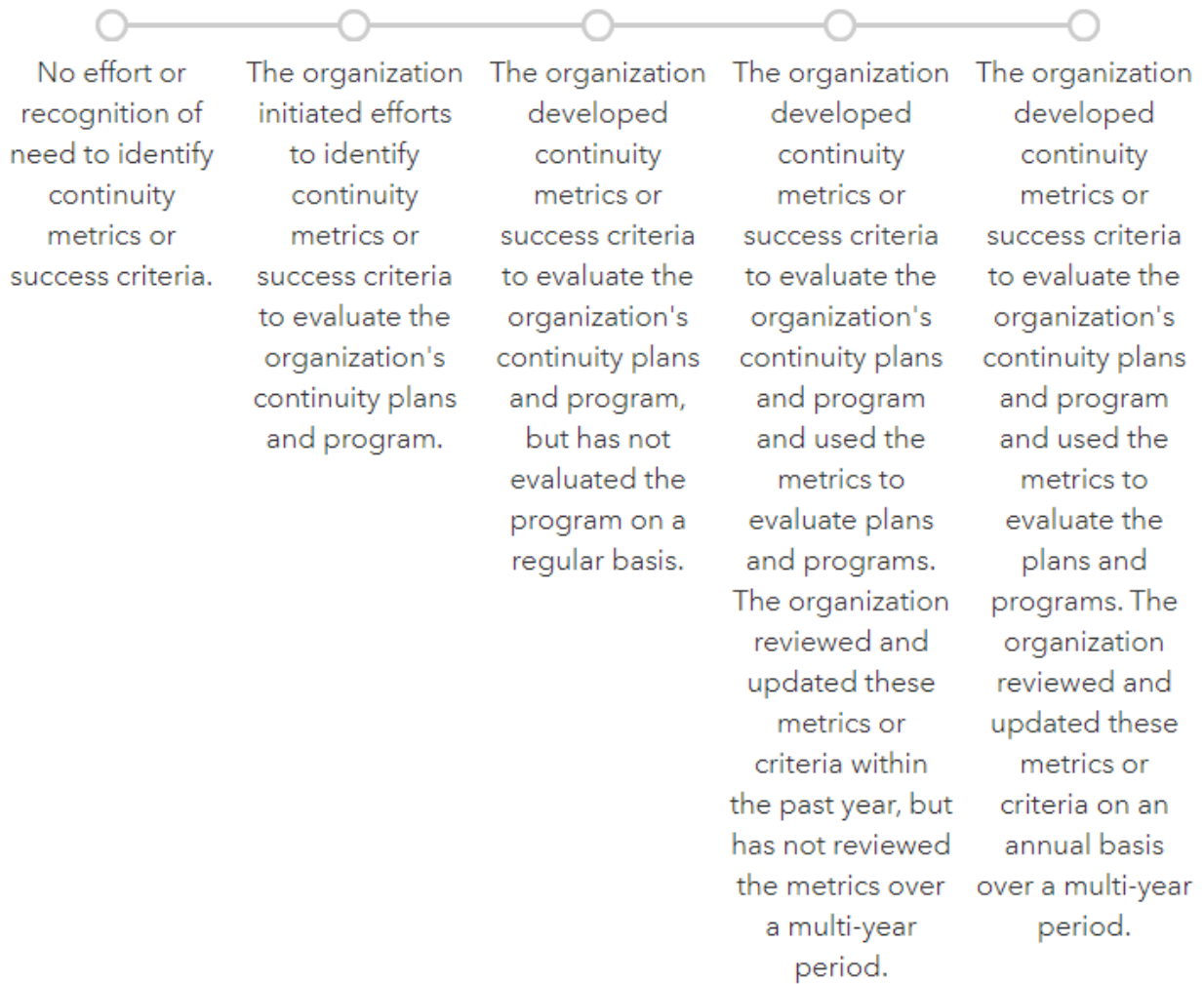
This section examines whether the organization is maintaining a viable continuity capability and maturing its continuity program.

Planning

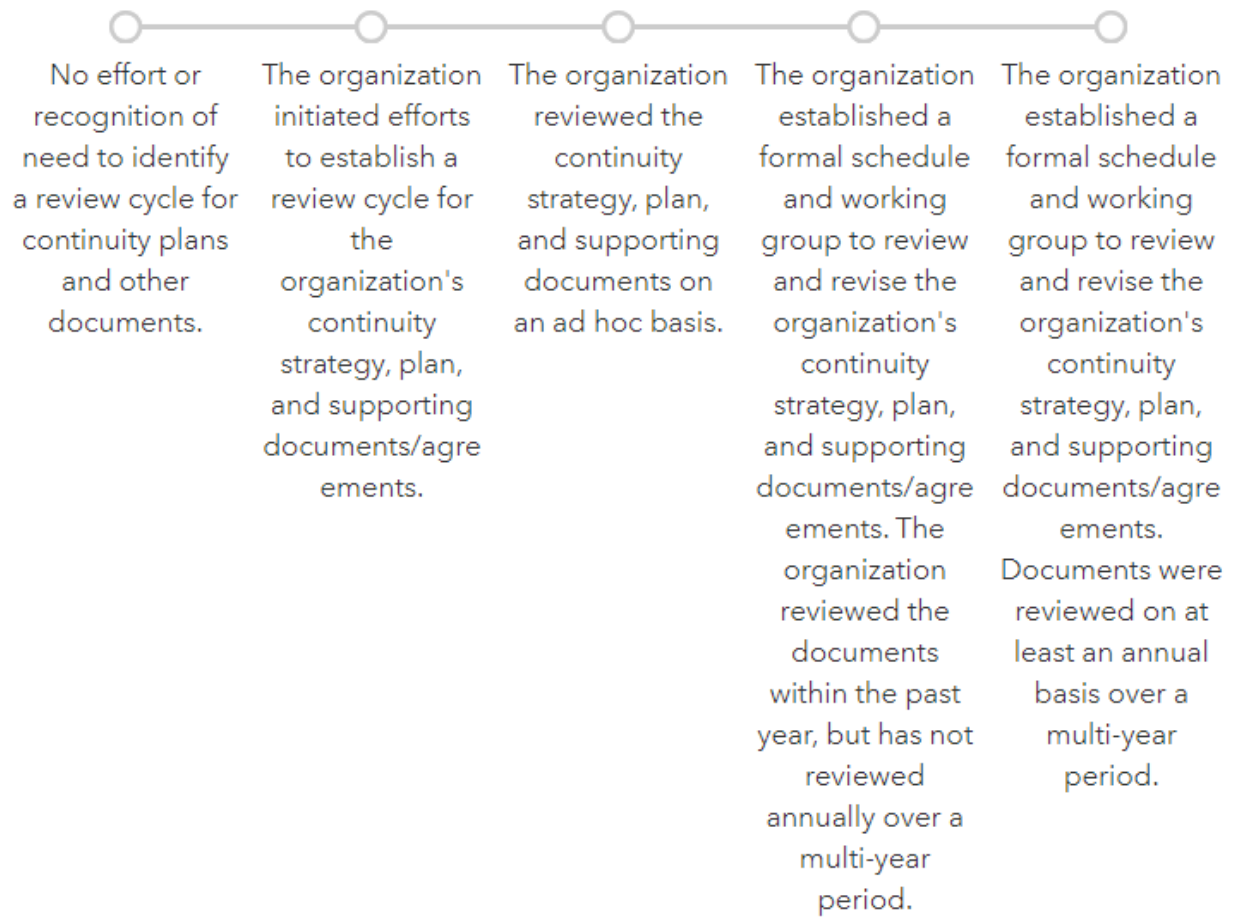
43. Has the organization developed a multi-year strategic plan to provide for the development, maintenance, and review of the continuity plan and program?*



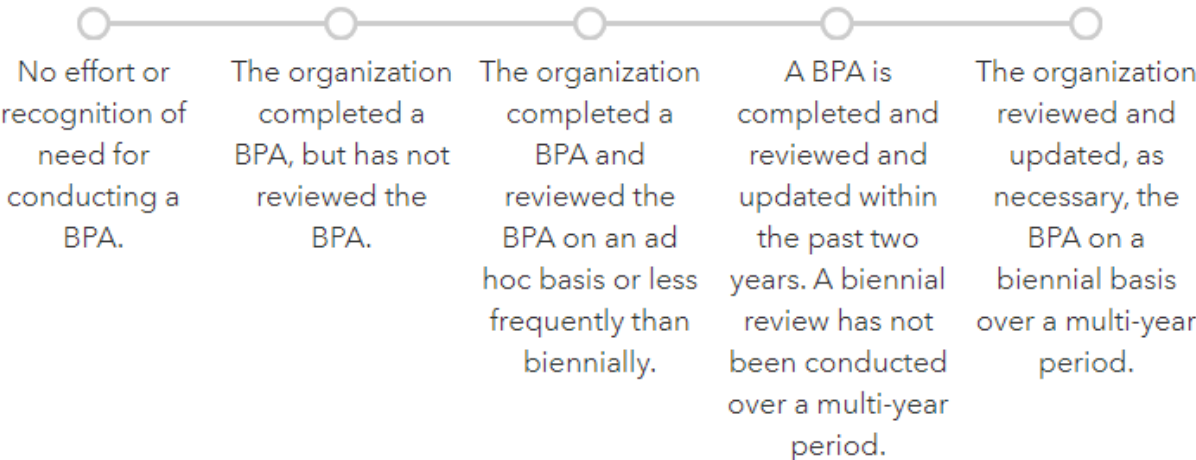
44. Has the organization developed metrics or success criteria in order to evaluate the continuity plan and program on a regular basis?*



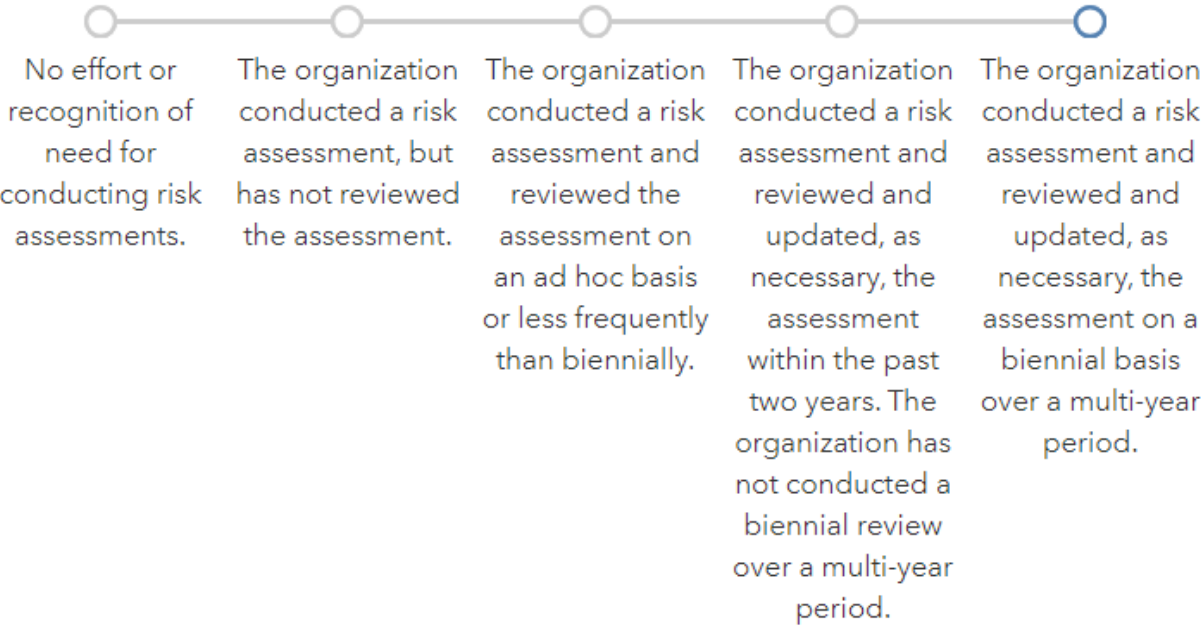
45. Has the organization established a working group that reviews and revises the continuity plan according to a regular, formal schedule?*



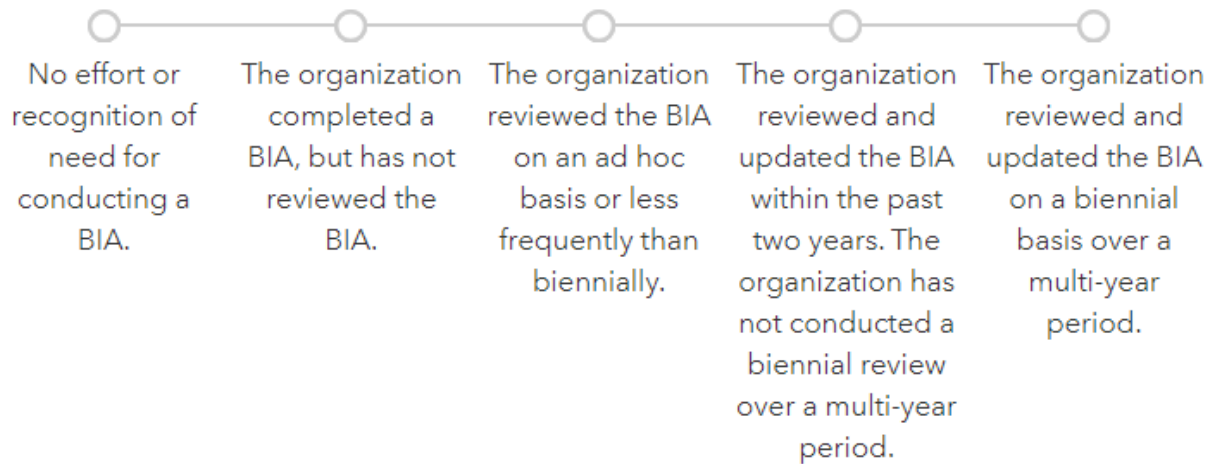
46. Has the organization reviewed and updated, as needed, its Business Process Analysis (BPA)?*



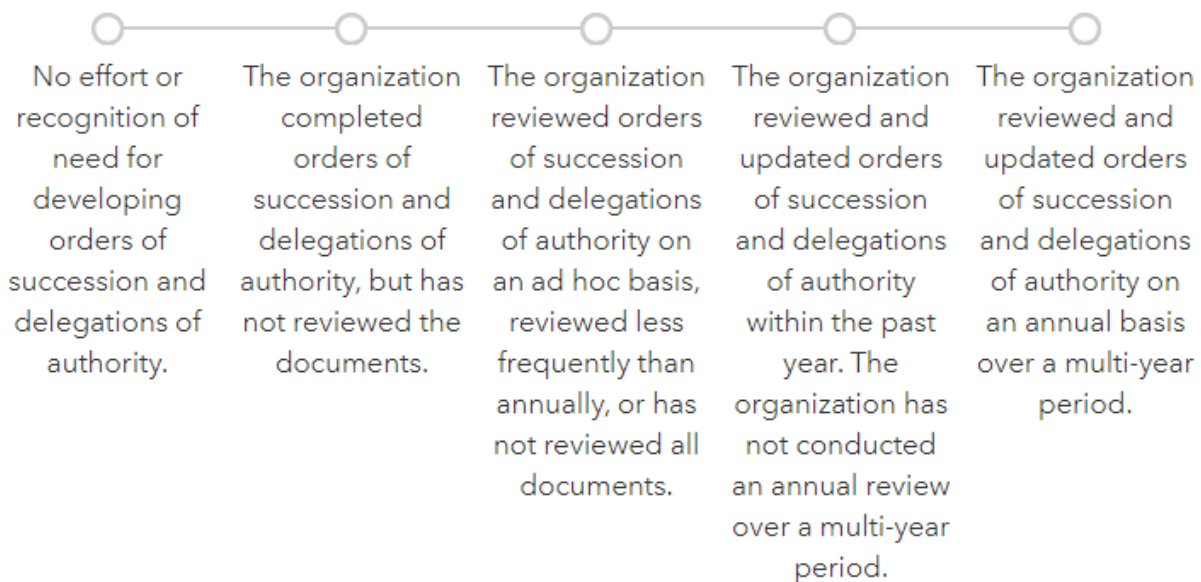
47. Has the organization reviewed and updated, as needed, its risk assessments?*



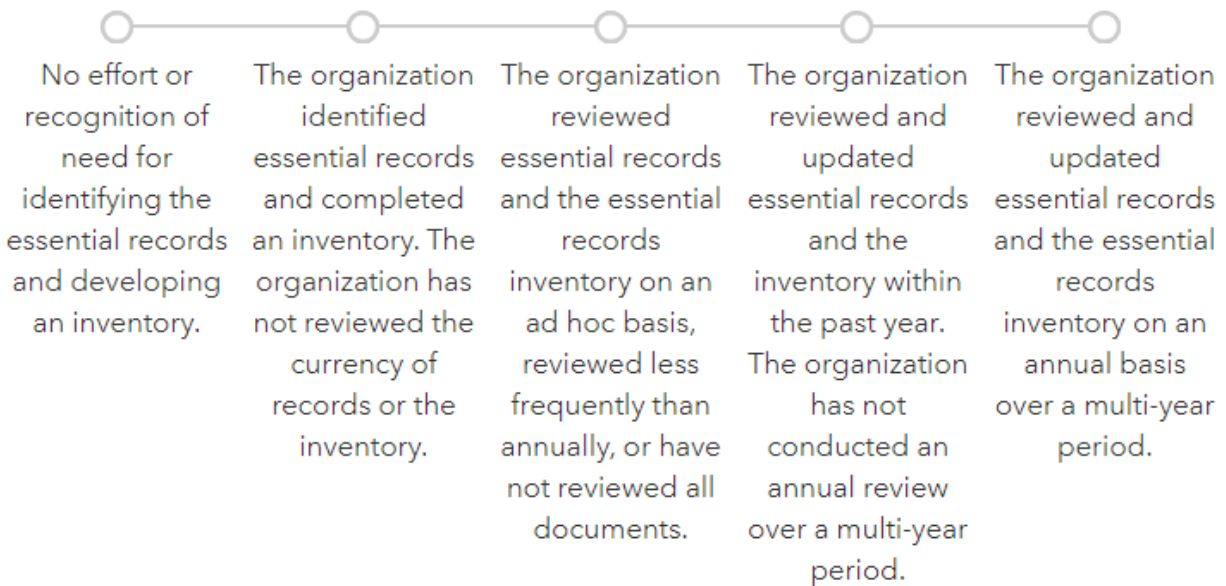
48. Has the organization reviewed and updated, as needed, its BIA?*



49. Has the organization reviewed and updated, as needed, its orders of succession and delegations of authority?*

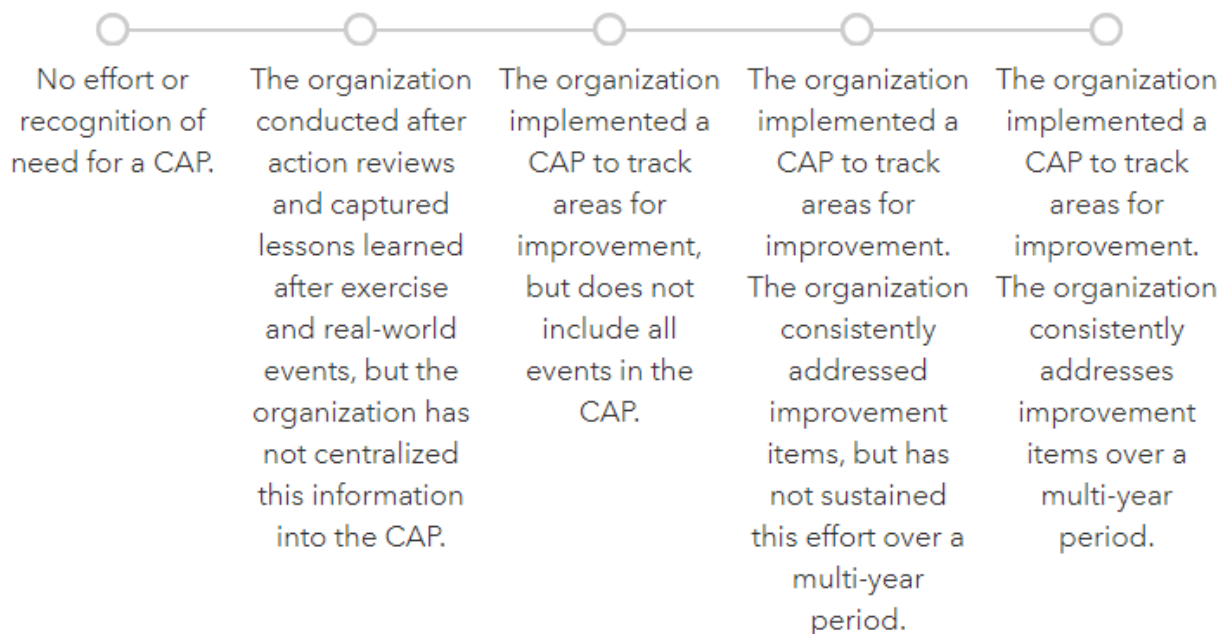


50. Has the organization reviewed and updated essential records and the essential records inventory, including emergency operating records and legal and financial rights records?*

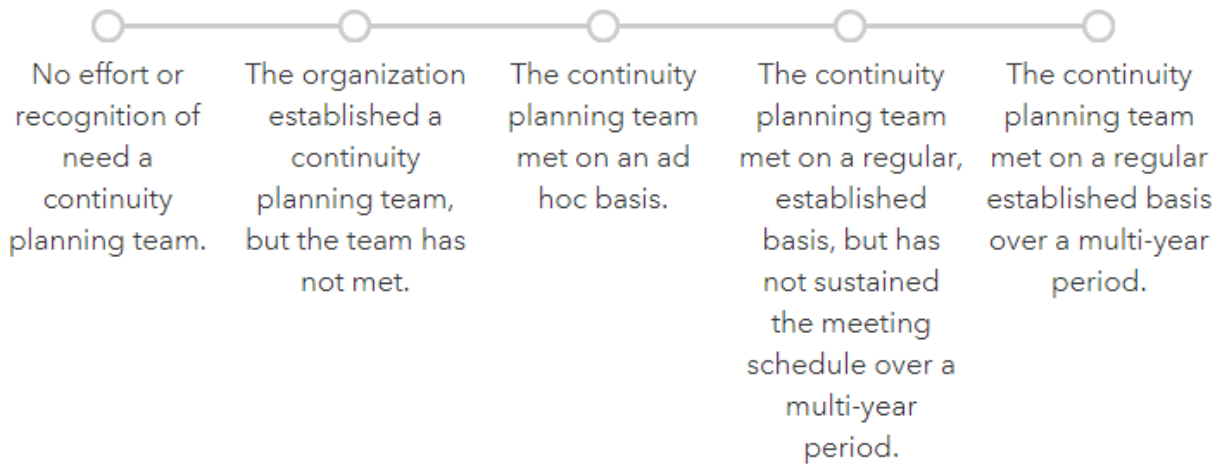


Organizing

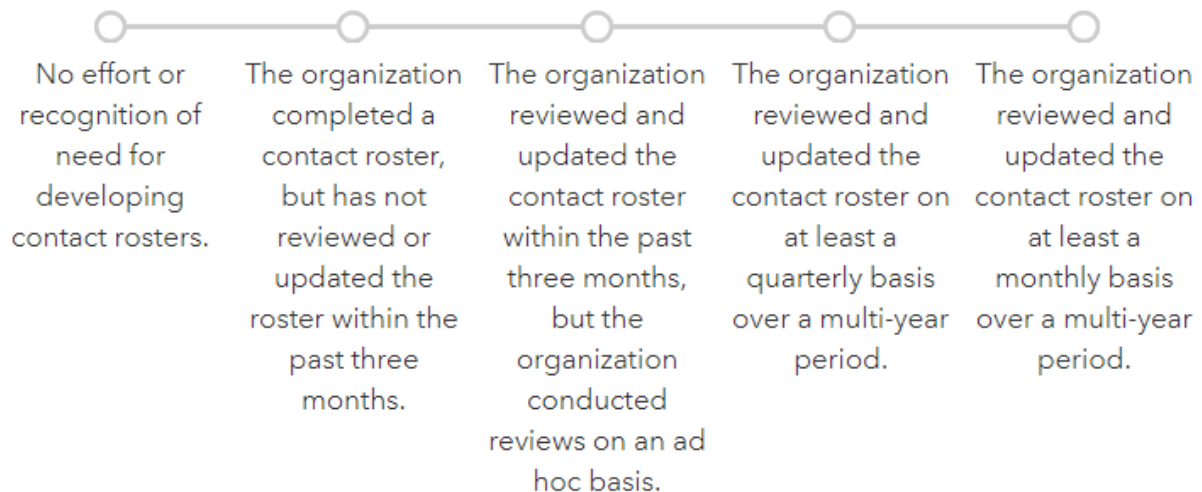
51. Has the organization's continuity program established a Corrective Action Program (CAP) to track and implement areas for improvement from tests, training, and exercise events and real-world activities?*



52. Has the continuity planning team met on a regular basis?*

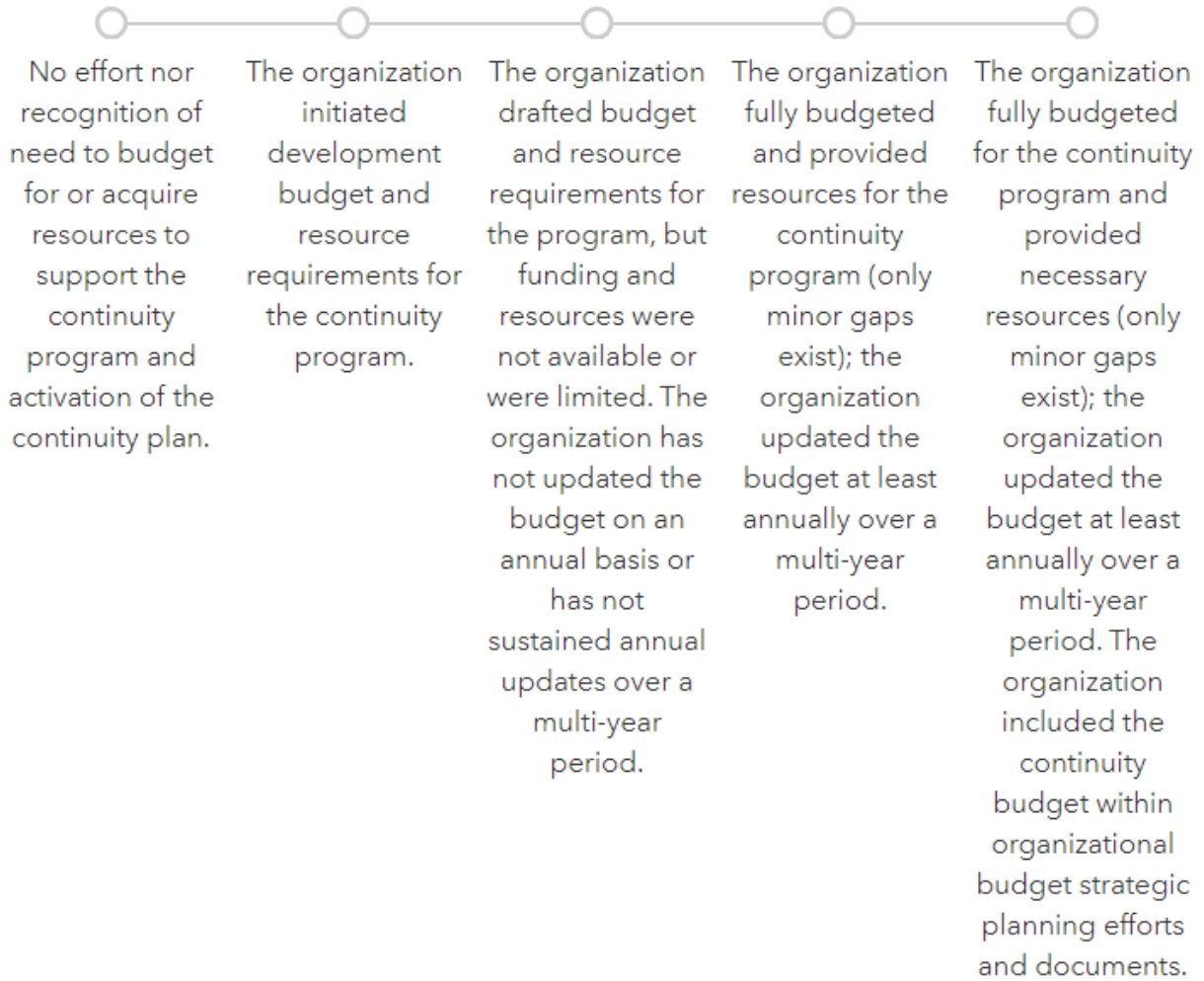


53. Has the organization regularly updated appropriate point-of-contact rosters of continuity personnel?*

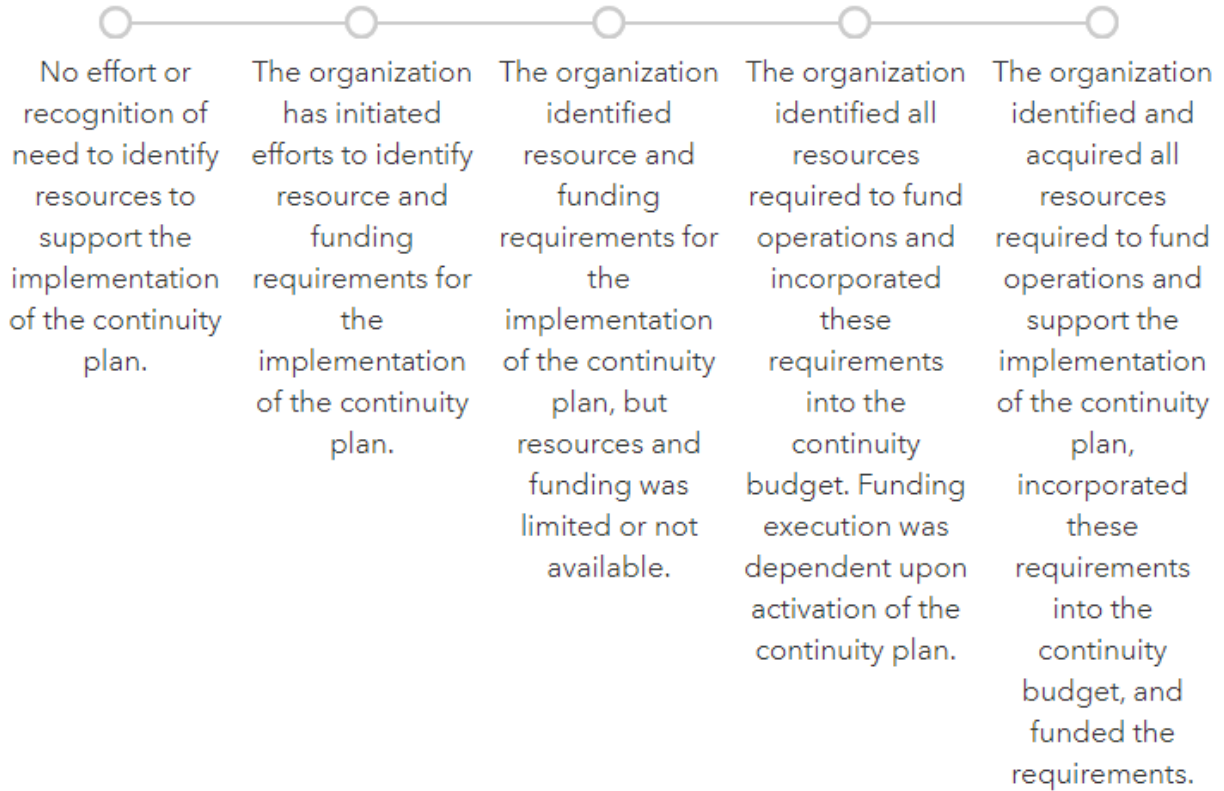


Equipping

54. Has the organization designated a budget specific to the continuity program to support resource acquisition and continuity planning?*

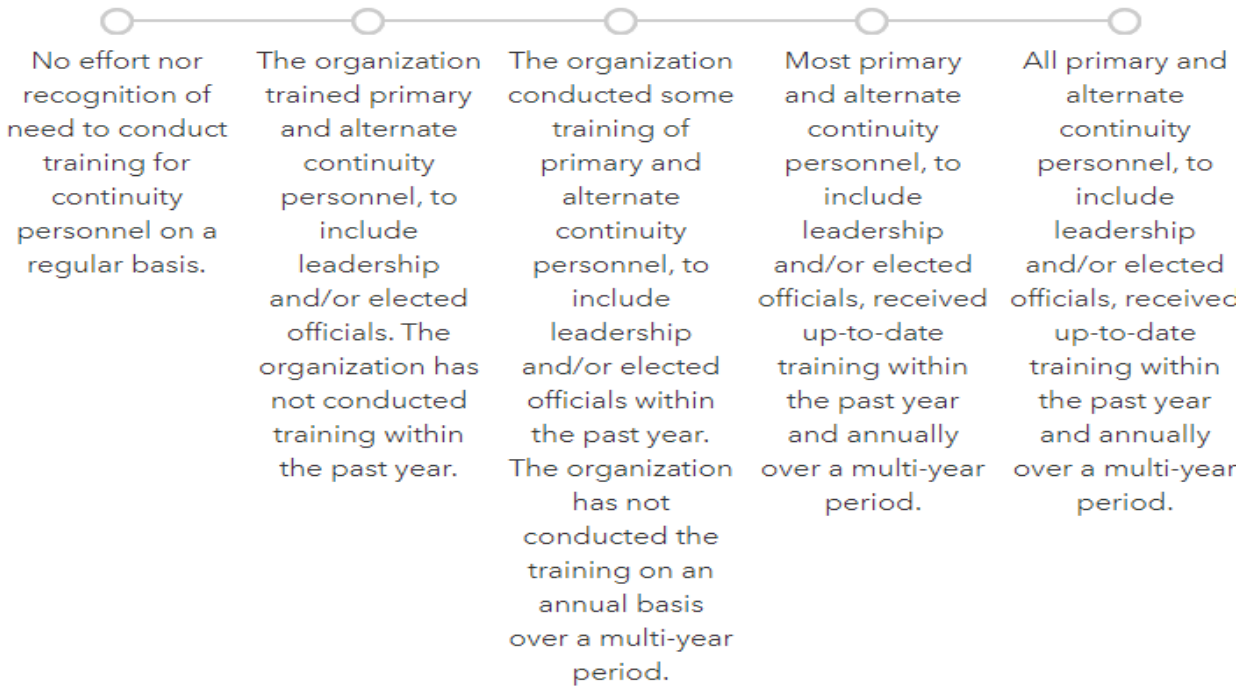


55. Has the organization's continuity program identified how it will fund operations and acquire necessary resources to support the implementation of the continuity plan during a continuity event?*

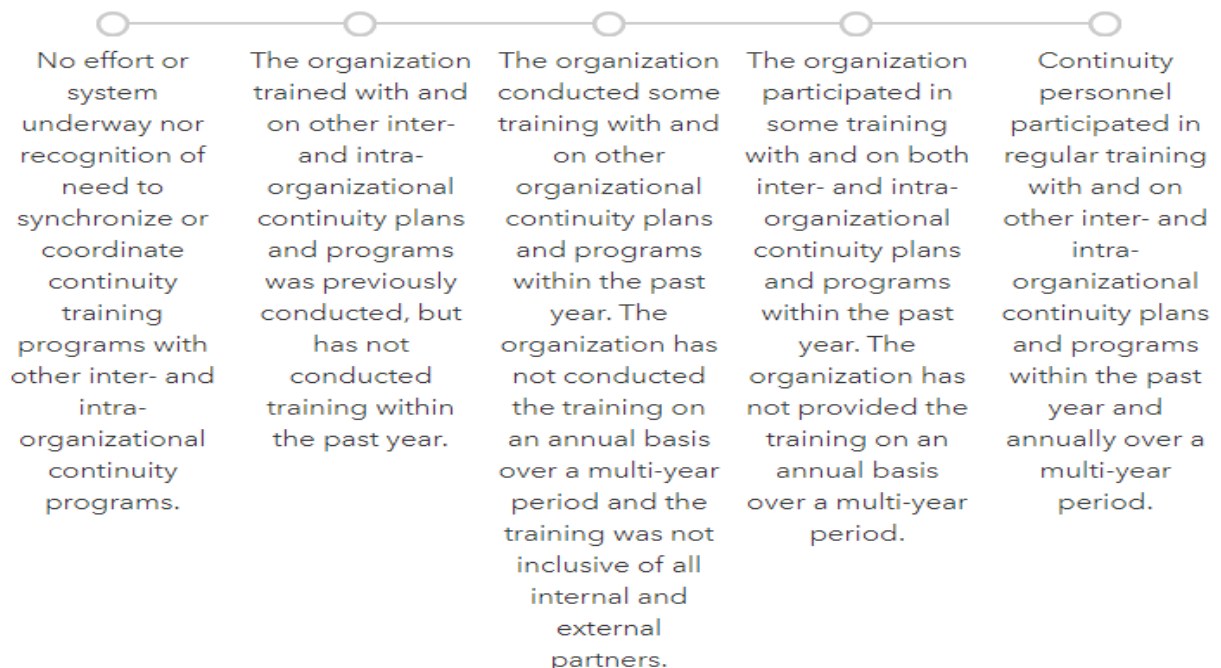


Training

56. Has the organization regularly trained continuity personnel on continuity plans and strategies?*

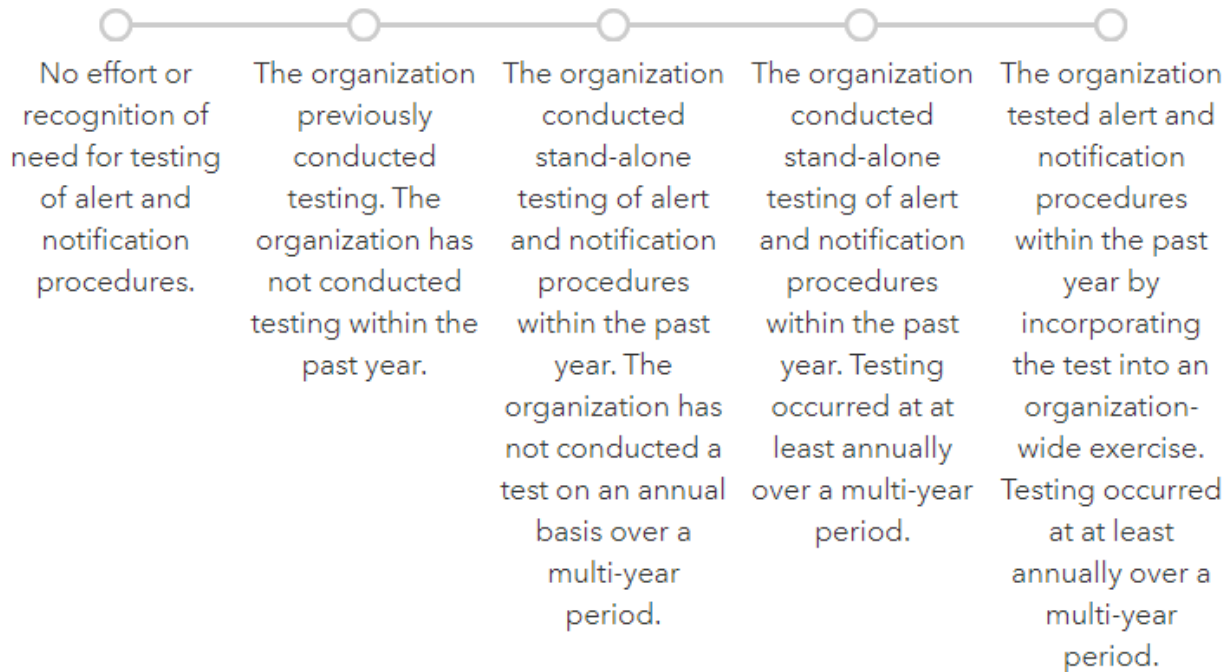


57. Have continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally) on a regular basis?*

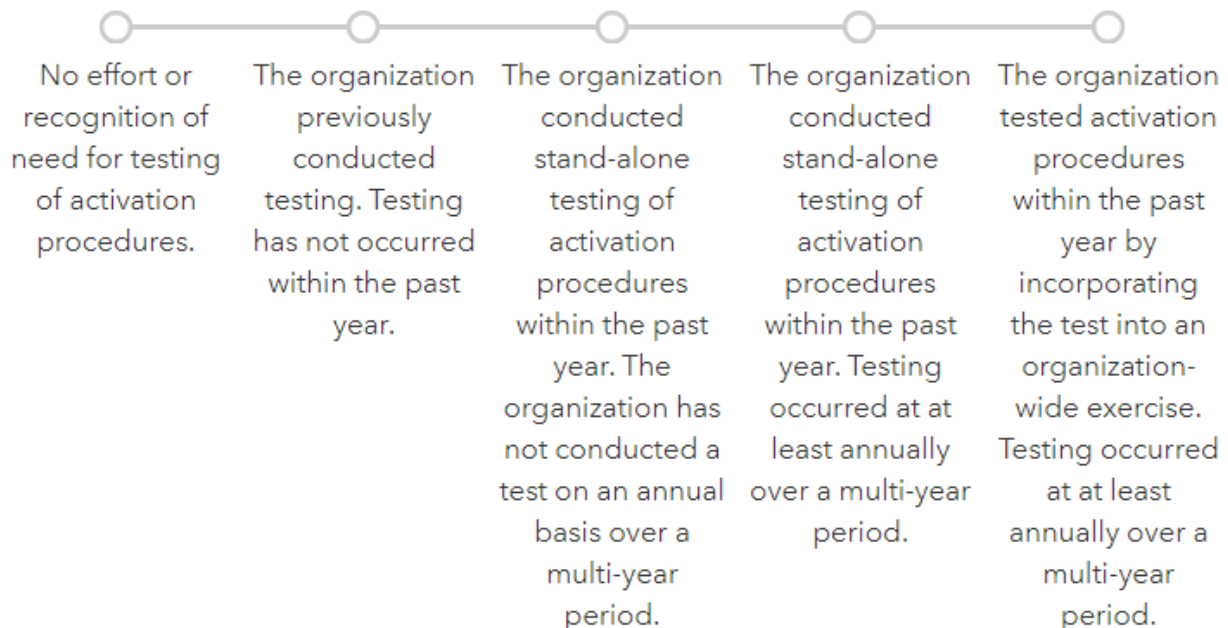


Exercise

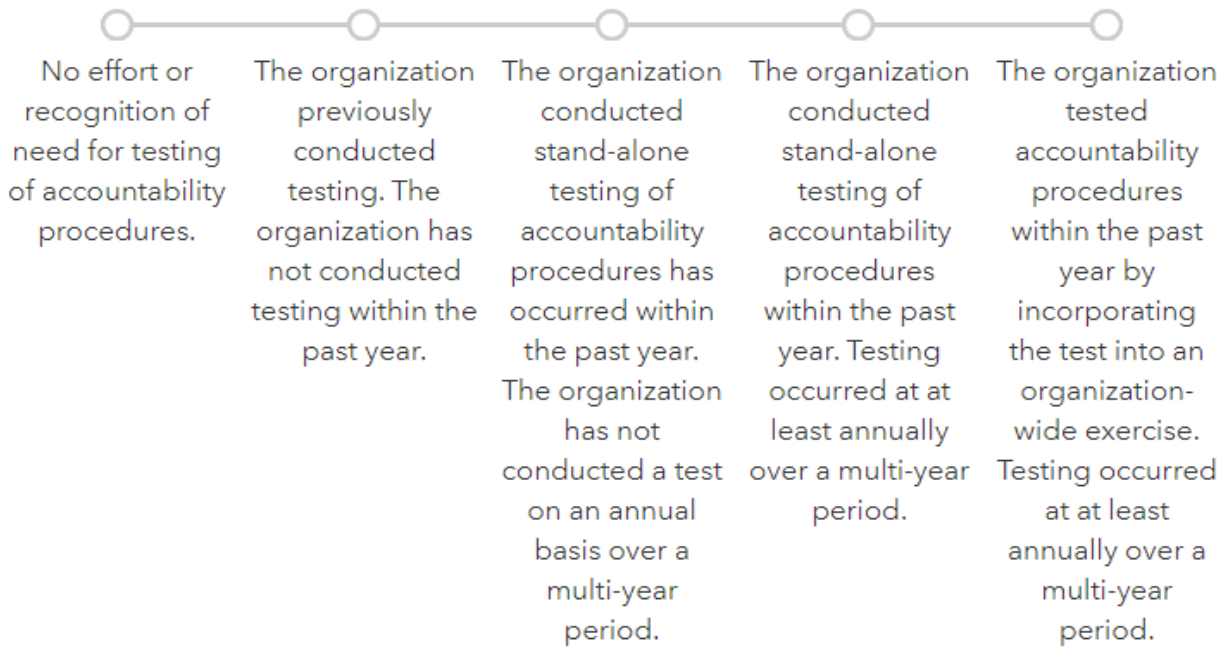
58. Has the organization conducted regular testing of alert and notification procedures?*



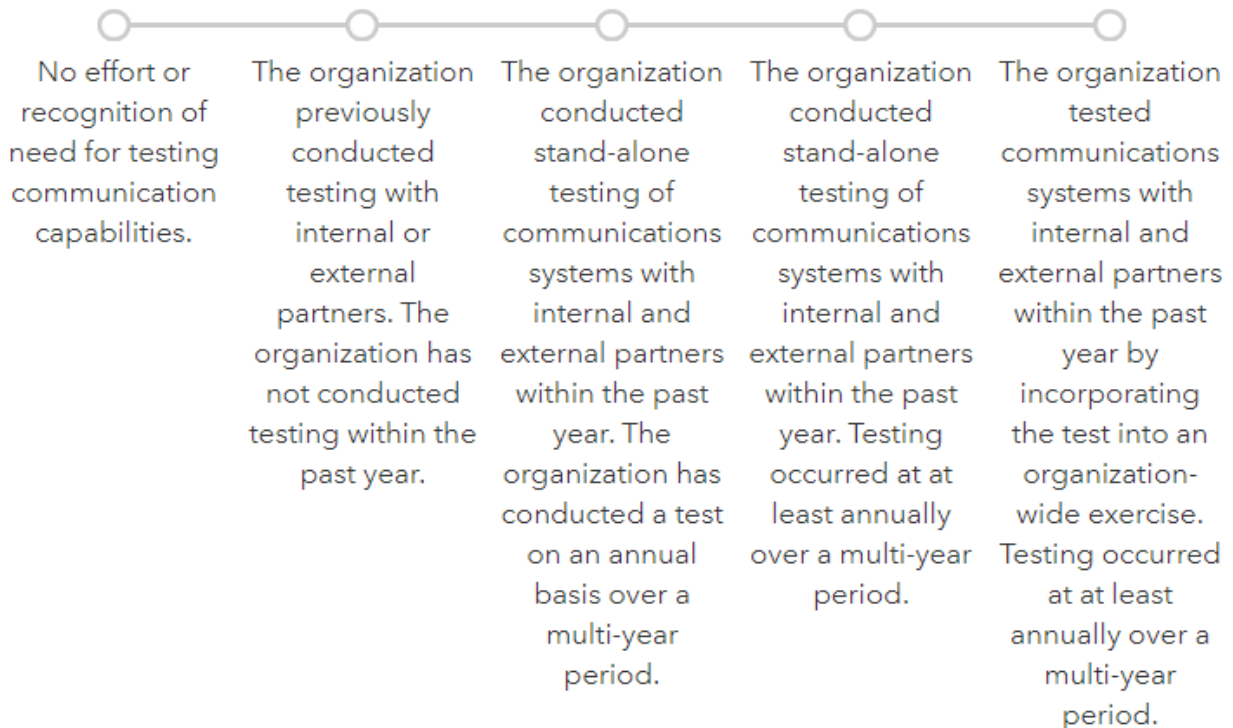
59. Has the organization conducted regular testing of activation procedures?*




60. Has the organization conducted regular testing of accountability procedures?*



61. Has the organization conducted regular testing of the interoperable and available communications capabilities that support identified essential functions?*




62. Has the organization conducted regular testing of critical systems and equipment and strategies to meet associated recovery time objectives?*



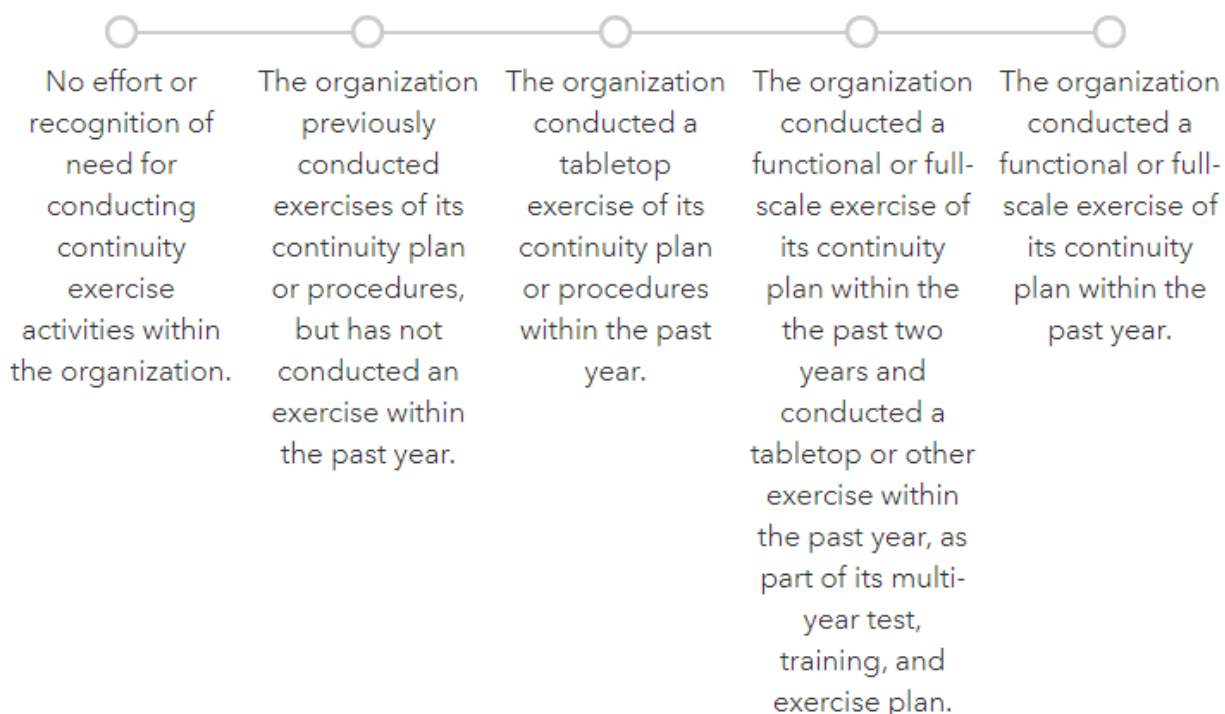
<p>No effort or recognition of need for testing of recovery time objectives for critical systems and equipment.</p>	<p>The organization previously conducted testing. The organization has not conducted testing within the past year.</p>	<p>The organization has conducted stand-alone testing of recovery time objectives for critical systems and equipment within the past year. The organization has not conducted a test on an annual basis over a multi-year period.</p>	<p>The organization conducted stand-alone testing of recovery time objectives for critical systems and equipment within the past year. Testing occurred at at least annually over a multi-year period.</p>	<p>The organization tested recovery time objectives for critical systems and equipment within the past year by incorporating the test into an organization-wide exercise. Testing occurs at at least annually over a multi-year period.</p>
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63. Has the organization regularly conducted organization-wide continuity exercises?*



<p>No effort or recognition of need for conducting continuity exercise activities within the organization.</p>	<p>The organization previously conducted organization-wide continuity exercises. The organization has not conducted an exercise within the past year.</p>	<p>The organization conducted an organization-wide continuity exercise within the past year. The organization has not conducted an exercise on an annual basis over a multi-year period.</p>	<p>The organization, including senior leadership, exercised the comprehensive continuity plan in a tabletop exercise within the past year and annually over a multi-year period.</p>	<p>The organization, including senior leadership, exercised the comprehensive continuity plan in a functional or full-scale exercise within the past year and annually over a multi-year period.</p>
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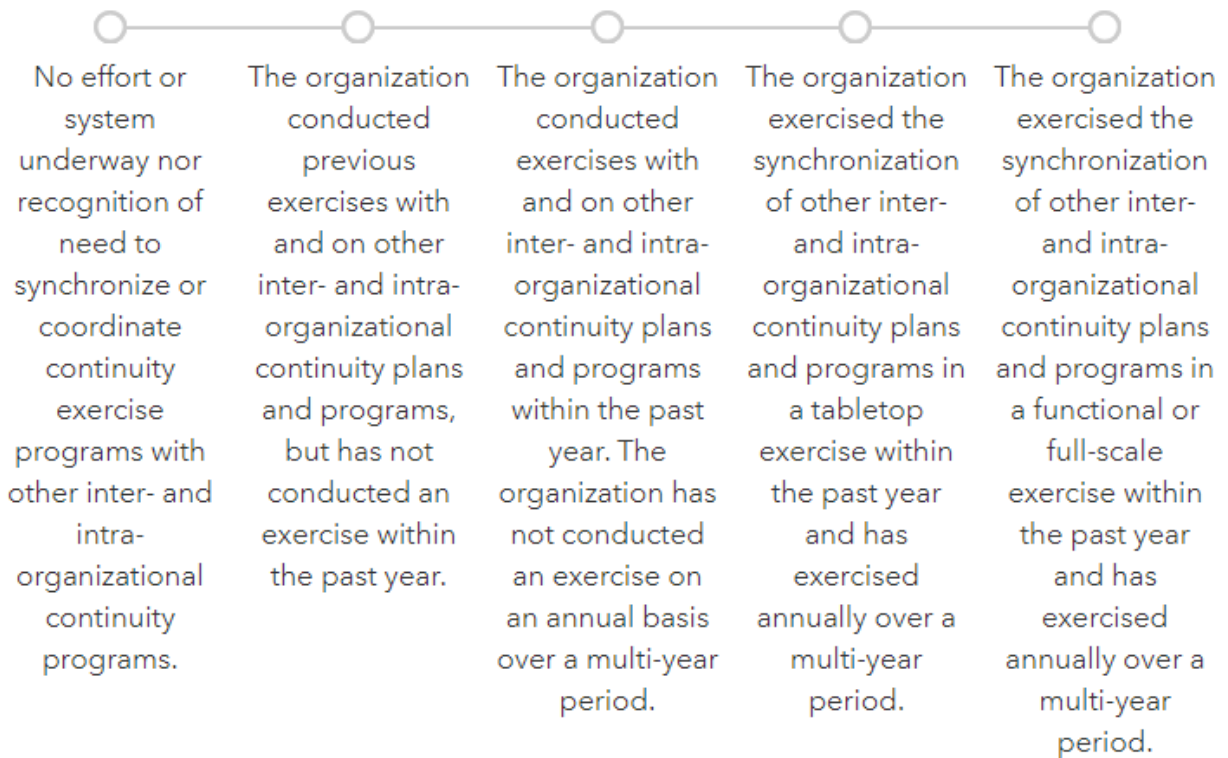
64. Has the organization progressively exercised its continuity plan and procedures?*



65. Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after a continuity activation?*



66. Has the organization regularly exercised with internal and external partners to coordinate continuity plans and programs?*



Additional Comments (255 characters)

Plan Assessment

This section is a focused self-assessment of your organization's Continuity Plan and supporting plans, policies, regulations, and processes. This section of the CPAT should be used to determine whether all viable continuity planning elements are addressed by your organization

Program Management – Plans and Procedures


An important element of a continuity plan is to address the needs and gaps of the overall program. 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.

1a. Procedures for employee advisories, alerts and continuity plan activation are included.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

1b. Where addressed in plan or corrective action if not addressed in plan:*


255 

2a. Provisions for personnel accountability throughout the duration of the emergency are included.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

2b. Where addressed in plan or corrective action if not addressed in plan:*


255 

3a. Planned Maintenance: Procedures exist for an annual review of the agency continuity plan and supporting documents with the ability to revise as needed.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

3b. Where addressed in plan or corrective action if not addressed in plan:*


255 

4a. Includes a risk or hazard analysis to identify threats to facilities and operations.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

4b. Where addressed in plan or corrective action if not addressed in plan:*


255 

5a. Includes concept of operations section that identifies activation criteria, responsibilities, and command and control during continuity plan activation, operations, and reconstitution/recovery.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

5b. Where addressed in plan or corrective action if not addressed in plan:*


255 

6a. Established critical staffing/readiness levels to provide a flexible and coordinated response to escalating threat levels or actual emergencies.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

6b. Where addressed in plan or corrective action if not addressed in plan:*


255 

7a. Continuity plans have been developed for all stakeholders/departments (internal/external) that support organizational essential business functions.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

7b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Essential Functions

Essential Functions are those organizational functions that must be continued under all circumstances. These functions are derived from the organization's 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.

8a. Executive Summary: Initial narrative that summarizes all the viable continuity elements within the plan.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


8b. Where addressed in plan or corrective action if not addressed in plan:*

9a. Purpose, scope, goals, objectives, and authorities clearly defined.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

9b. Where addressed in plan or corrective action if not addressed in plan:*


255 

10a. Planning: Situation and planning assumptions are linked to essential functions that are listed, prioritized, and documented in the plan.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

10b. Where addressed in plan or corrective action if not addressed in plan:*


255 

11a. Functional roles and responsibilities for internal and external stakeholders/organizations and positions supporting essential functions are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

11b. Where addressed in plan or corrective action if not addressed in plan:*


255 

12a. Logistical support and resource requirements for to re-establish and sustain essential function are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

12b. Where addressed in plan or corrective action if not addressed in plan:*


255 

13a. Critical data and data systems for each essential function are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

13b. Where addressed in plan or corrective action if not addressed in plan:*


255 

14a. Support activities are addressed as part of essential functions.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

14b. Where addressed in plan or corrective action if not addressed in plan:*


255 

15a. Resumption or recovery exist for essential functions to ensure operational capability within 12 hours.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

15b. Where addressed in plan or corrective action if not addressed in plan:*


255 

16a. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

16b. Where addressed in plan or corrective action if not addressed in plan:*


255 

17a. Considered and identified the department's role in supporting the State Emergency Functions.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

17b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Order of Succession/Delegation of Authority

Each organization is required to establish, circulate, and maintain an order of succession for key positions. This order 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. 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.

18a. Order of Succession is established for the agency's highest position of authority.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


18b. Where addressed in plan or corrective action if not addressed in plan:*

19a. Order of succession is established for other key leadership positions that are linked to essential business functions.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

19b. Where addressed in plan or corrective action if not addressed in plan:*


255 

20a. Policy for the delegation of emergency authorities is established and described. Limitations for delegated authorities are listed.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

20b. Where addressed in plan or corrective action if not addressed in plan:*


255 

21a. Order of succession are included in continuity plans.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

21b. Where addressed in plan or corrective action if not addressed in plan:*


255 

22a. Rosters of trained personnel with the authority to perform essential functions and activities are maintained.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

22b. Where addressed in plan or corrective action if not addressed in plan:*


255 

23a. Rules and procedures for implementing order of succession are established.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

23b. Where addressed in plan or corrective action if not addressed in plan:*


255 

24a. Order of succession include initiating conditions, notification methods, and terminating conditions and procedures.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

24b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Continuity Facilities

Continuity Facilities are locations where leadership and staff may operate during a continuity event. Leadership and staff may be co-located in one facility, dispersed through many locations, and connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued operations. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one or multiple locations.

25a. Immediate capability exists to operate under potential threat conditions including HazMat / WMD / Pandemic threats.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


25b. Where addressed in plan or corrective action if not addressed in plan:*

26a. Sufficient space and equipment to sustain the relocating organization are identified and included in relocation planning.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

26b. Where addressed in plan or corrective action if not addressed in plan:*


255 

27a. Pre-positioned resources are identified and where possible contingency contracts are established or prepared with appropriate resource providers.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

27b. Where addressed in plan or corrective action if not addressed in plan:*


255 

28a. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers, and the public. Includes telework functions/procedures.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

28b. Where addressed in plan or corrective action if not addressed in plan:*


255 

29a. Alternate facilities provide for logistical support, services, and infrastructure systems (e.g., water, electrical power, heating, and air conditioning)*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

29b. Where addressed in plan or corrective action if not addressed in plan:*


255 

30a. Plan contains provisions to sustain operations for a period of up to 30 days.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

30b. Where addressed in plan or corrective action if not addressed in plan:*


255 

31a. Plan addresses considerations for the health and safety of relocated employees. Includes telework staff.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

31b. Where addressed in plan or corrective action if not addressed in plan:*


255 

32a. Plan addresses alternate facility operating capabilities, physical security, and access controls.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

32b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Continuity Communications/IT Systems Recovery

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 alternate or other continuity facilities depends upon the availability of effective communications systems. If this section is addressed in the organization's Technology Recovery Plan (TRP), work with the TRP Manager to identify where this information residence and indicate this in the column on the text field.

33a. Procedures or plans exist for communications and IT Systems linked to the continuity plan, contingency staff, management, and other organizational components are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


33b. Where addressed in plan or corrective action if not addressed in plan:*

34a. Procedures or plans exist for communications and IT systems that support essential business functions are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

34b. Where addressed in plan or corrective action if not addressed in plan:*


255 

35a. Procedures or plans exist for access to data and systems necessary to conduct essential activities and functions are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

35b. Where addressed in plan or corrective action if not addressed in plan:*


255 

36a. Procedures for protection of critical applications, communications, and resources are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

36b. Where addressed in plan or corrective action if not addressed in plan:*


255 

37a. Critical business systems (processes, applications, functions, and equipment) prioritized based on Recovery Time Objectives (RTOs) is identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

37b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Human Resources

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.

38a. Includes procedures for the dismissal of employees and/or closure of the facility following an emergency impacting the facility.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


38b. Where addressed in plan or corrective action if not addressed in plan:*

39a. Designates continuity staff and other special categories of employees and their roles and responsibilities.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

39b. Where addressed in plan or corrective action if not addressed in plan:*


255 

40a. Includes procedures for non-continuity staff and non-special categories of employees are identified.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

40b. Where addressed in plan or corrective action if not addressed in plan:*


255 

41a. Includes agency guidelines for communicating to/from employees following an emergency; includes telework.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

41b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Essential Records Management

Each agency's continuity plan should account for the identification and protection of those essential records and mission critical systems and databases that are necessary to perform essential functions and reconstitute normal operations after the emergency ceases. Agencies should pre-position, and update on a regular basis, duplicate records and databases, and back-up electronic media. The agency's Essential Records Management Program must be reviewed periodically and updated accordingly. If this section is addressed in the organization's Technology Recovery Plan (TRP), work with the TRP Manager to identify where this information residence and indicate this in the column on the text field.

42a. Essential emergency operating plans, including order of succession, delegations of emergency authorities, staffing assignments, and policy or procedural records are identified and protected.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


42b. Where addressed in plan or corrective action if not addressed in plan:*

43a. Essential legal and financial records, such as accounts receivable, contracting and acquisition files; official personnel files and records, Social Security, payroll, retirement, medical insurance records; property management records, and inventory records are identified and protected.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

43b. Where addressed in plan or corrective action if not addressed in plan:*


255 

44a. Provisions for classified or sensitive records and databases are included.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

44b. Where addressed in plan or corrective action if not addressed in plan:*


255 

45a. Procedures for data and data systems backup and restoration are included.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

45b. Where addressed in plan or corrective action if not addressed in plan:*


255 

46a. Location and accessibility of essential records are identified and tested.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

46b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Test, Training, and Exercises

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, and identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing

47a. Plans include annual individual and team training of agency continuity emergency personnel.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


47b. Where addressed in plan or corrective action if not addressed in plan:*

50a. Plans include refresher orientation for Continuity staff.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

50b. Where addressed in plan or corrective action if not addressed in plan:*


255 

51a. Plans include inter-agency exercising of Continuity plans where applicable and feasible.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

51b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Devolution of Control and Direction

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.

52a. Identifies the likely triggers that would initiate or activate the devolution option.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)


52b. Where addressed in plan or corrective action if not addressed in plan:*

53a. Specifies how and when direction and control of agency operations will be transferred to the devolution site.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

53b. Where addressed in plan or corrective action if not addressed in plan:*


255 

54a. Lists necessary resources (people, equipment, and materials) to facilitate the ability to perform essential functions at the devolution site.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

54b. Where addressed in plan or corrective action if not addressed in plan:*


255 

55a. Establishes capabilities to restore or reconstitute agency authorities to their pre-event status upon termination of devolution.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

55b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Reconstitution/Recovery Operations


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.

56a. Provides an operational plan to transition from continuity status to an efficient normal operational status once a threat or disruption has passed.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

56b. Where addressed in plan or corrective action if not addressed in plan:*


255 

57a. Includes coordination and pre-planned options for reconstitution of the agency (options to include movement from the devolution location back to headquarters or a new operating site if necessary)*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

57b. Where addressed in plan or corrective action if not addressed in plan:*


255 

58a. Outlines procedures necessary to affect a smooth transition from the relocation site to a new or restored headquarters.*

Yes - Element is Addressed in the Plan (pg. number)

No - Element is NOT Completely Addressed in the Plan (Corrective action)

58b. Where addressed in plan or corrective action if not addressed in plan:*

255 

Thank you

Thank you for completing the annually required Continuity Program Assessment Tool. Cal OES and those who live in California appreciate your hard work and dedication to resiliency.

Next, you will receive an email after submitting the assessment. The email will contain:

- A letter confirming your organization's submittal of the completed CPAT Self-Assessment, along with a copy of the Continuity Plan assessed.
- A CPAT Assessment Scoring outlining areas in need of improvement within your continuity program or plans. This is a great tool for engaging leadership and defining your organization's next steps.
- A copy of your CPAT Submitted Responses.

If you do not receive a confirmation email within an hour of submitting your CPAT, please contact our Continuity Team at Continuity@caloes.ca.gov.

For specific guidance, resources, and to review additional Continuity training and workshops visit the CalOES Continuity Planning webpage.