Continuity Assistance Tool (CAT)

Continuity Guidance for Non-Federal Governments

(States, Territories, Tribes, and Local Government Jurisdictions)

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CONTINUITY ASSISTANCE TOOL OVERVIEW

PURPOSE

This Continuity Assistance Tool (CAT) provides guidance and assistance for States, Territories, Tribal, and Local Government Jurisdictions (collectively referred to herein as "organizations") to identify continuity program strengths and areas for improvement.

BACKGROUND

National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) *National Continuity Policy* was issued by the President to establish and maintain a comprehensive and effective national continuity capability. The National Continuity Policy Implementation Plan (NCPIP) builds upon the Policy and provides guidance to executive departments and agencies and non-Federal Governments (including State, local, tribal, and territorial governments) on identifying and carrying out their Essential Functions to lead and sustain the Nation during a catastrophic emergency. The NCPIP also encourages coordination among Federal, State, local, tribal, and territorial governments and the private sector to achieve a comprehensive and integrated continuity capability. Through this collaborative effort, our national security posture can be enhanced to enable a more rapid and effective response to, and recovery from, a national emergency.

The Federal Emergency Management Agency (FEMA), in coordination with its non-Federal partners developed Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments, States, Territories, Tribes, and Local Government Jurisdictions,* in July 2013 to provide operational guidance to implement the NCPIP. This assistance tool captures the key elements necessary for organizations to create a comprehensive continuity program and plan, as described in CGC 1, and provides a method to review those continuity programs and plans.

Continuity programs and operations are fundamental practices that allow critical services to remain available under all conditions. The CAT was created to establish industry-wide benchmarks for the management, overall performance, and readiness of organizations to respond to a continuity event. The tool allows for organizations throughout the United States to examine their continuity capability by utilizing an easy-to-use national and uniform method to identify gaps in continuity programs and justify the funding and resources needed for improvements. Through identifying and filling these gaps, viable continuity programs can be established to help keep organizations functioning during emergencies.

The CAT is useful for all organizations regardless of location, size and status of existing continuity programs or plans. The tool describes the elements necessary to establish and maintain a viable continuity capability and can assist with establishing a foundation and framework for building a comprehensive program. If an organization does not have an existing program, the CAT can be used as a checklist to create an initial continuity plan and program.

BENEFITS OF THE CAT

The CAT:

1. Allows for comprehensive continuity program review.
2. Defines/refines continuity program baseline for strategic planning to correct deficiencies and achieve the required capabilities.
3. Provides program orientation for new staff members and leaders.
4. Creates a framework for budget, staff, and resource justification.
5. Enables the development of plans to rectify deficiencies.

ABOUT THE CAT

The CAT process is designed to guide the operational readiness and capabilities of organizations to help ensure the performance of Essential Functions and services under any circumstance. The tool is divided into two continuity categories: (1) Elements of a Viable Continuity Capability and (2) Continuity Program Foundation. These categories are further grouped into **Continuity Management Functions (CMF)** that describes specific key components of continuity.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Guidance Circular 1 describes ten elements that are necessary, to establish and maintain a comprehensive and effective continuity capability. The ten elements of a viable continuity capability are:

1.1 Essential Functions
1.2 Orders of Succession
1.3 Delegations of Authority
1.4 Continuity Facilities
1.5 Continuity Communications
1.6 Essential Records Management
1.7 Human Resources
1.8 Test, Training, and Exercise Program
1.9 Devolution of Control and Direction
1.10 Reconstitution Operations

2. CONTINUITY PROGRAM FOUNDATION

An organization's resiliency is built upon a foundation of continuity planning and continuity program management. This foundation is comprised of (1) plans and procedures to help guide leadership during a crisis, (2) risk management initiatives to identify, control, and minimize the impact of uncertain events, (3) adequate budgeting and resource allocation to support resiliency efforts, and (4) operational phases that help guide implementation of the continuity plan during various phases of a continuity event.The four supporting components of a Continuity Program Foundation are:

2.1 Program Plans and Procedures
2.2 Risk Management
2.3 Budgeting and Acquisition of Resources
2.4 Continuity Plan Operational Phases and Implementation *(included as the separate Appendix A due to its unique nature)*

These CMFs are described in detail in CGC 1 (see Appendix B: References), and are summarized on pages v and vi. The guidance document addresses common attributes of continuity programs and provides detailed suggestions of how to create a viable continuity capability. However, some CMFs may not be appropriate for all organizations and may be excluded if they are not applicable.

Each CMF is subdivided into **Attributes**, and these attributes are further subdivided into **Characteristics**. **Attributes** are broad criteria by which the performance of a CMF in a particular area can be addressed. **Characteristics** are detailed criteria that further clarify the area being assessed.

The CAT questions are subjective in nature. Therefore, it is reasonable to expect some variability from organization to organization when characteristics are reviewed. This flexibility is acceptable, since no two organizations' continuity programs are identical.

Organizational leadership and other personnel supporting continuity plans and programs are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II). This training will assist organizations develop and execute continuity functions. The Continuity Practitioner requirements list can be found in Appendix C. Additional continuity training information can be found at http://www.fema.gov/courses.

CAT PROCESS

The process provided below is the recommended method to apply this tool:

Step 1: The continuity manager meets with functional representatives (i.e., IT manager, HR manager, Security managers, etc.) of the organization to review the CAT.

Step 2: With the assistance of the continuity manager, the functional representatives review their respective characteristics.

Answer each characteristic "Yes", "No", or "Not Applicable" (N/A). Flexibility is built into the assistance tool. Therefore, "Not Applicable" (N/A) may be used for those characteristics that do not apply.

Some characteristics are identified as "critical" and are denoted with an asterisk (*) following the number. These critical characteristics represent high priority criteria necessary for functional continuity programs and plans. Responding "No" for these characteristics denote primary areas of focus for the organization. Funding and resources should be appropriately allocated to fulfill these critical areas to build a viable continuity capability.

Step 3: For each characteristic, a "comments" section is provided to enter any helpful notes.

Step 4: For each CMF, tally all Characteristics to obtain the "Yes", "No", and "N/A" CMF totals. Record this tally in the CMF header.

Step 5: Capture each CMF total in Table 2 - Continuity Management Functions Summary on page viii.

CONTINUITY MANAGEMENT FUNCTIONS FOR CONTINUITY ASSISTANCE TOOL

The Continuity Management Functions in this tool are defined as follows. For further information, please refer to CGC-1.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

1.1 ESSENTIAL FUNCTIONS

The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

1.2 ORDERS OF SUCCESSION

Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

1.3 DELEGATIONS OF AUTHORITY

Identification, by position, of the authorities for making policy determinations and decisions at HQ, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

1.4 CONTINUITY FACILITIES

Continuity facilities are locations from which leadership and critical positions may operate during a continuity event. These may include one or many facilities or virtual offices from which to continue essential operations.

1.5 CONTINUITY COMMUNICATIONS

Continuity communications are the systems that support full connectivity among leadership, internal elements, and other organizations to perform Essential Functions during a continuity event.

1.6 ESSENTIAL RECORDS MANAGEMENT

Essential records management is the identification, protection, and availability of information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a continuity event.

1.7 HUMAN RESOURCES

Human resources involves policies, plans, and procedures that address human resources needs during a continuity event, such as guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.

1.8 TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM

An effective TT&E program identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.

1.9 DEVOLUTION OF CONTROL AND DIRECTION

Devolution is the capability to transfer statutory authority and responsibility for Essential Functions from primary operating staff and facilities to other employees and facilities. It also provides the means to sustain that operational capability for an extended period.

1.10 RECONSTITUTION OPERATIONS

Reconstitution planning is the process by which organizations/personnel resume normal operations from the original or a replacement primary operating facility.

2. CONTINUITY PROGRAM FOUNDATION

2.1 PROGRAM PLANS AND PROCEDURES

Continuity planning is an effort to document the existence of, and seek the capability to continue Essential Functions during a wide range of potential emergencies.

2.2 RISK MANAGEMENT

Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization's readiness, and to provide them with options for risk mitigation.

2.3 BUDGETING AND ACQUISITION OF RESOURCES

The budgeting and planning process can help organizations provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.

2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION

Organizations must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on readiness posture. Organizations should integrate implementation procedures and criteria into their continuity plans. The continuity plan must address four phases of: (1) readiness and preparedness, (2) activation, (3) continuity operations, and (4) reconstitution. These factors are most easily reviewed during an exercise or actual event. Therefore, they have been separated from the main tool and appear as Appendix A.

GENERAL INFORMATION

This section is provided to revisit an organization's community information and continuity experience prior to starting the Continuity Assistance Tool. The preliminary questions asked below help "set the stage" for assisting an organization's continuity program by refreshing the specifics of community, landscape, potential hazards, and continuity experience.

CONTACT INFORMATION

Organization Location

Continuity Manager Name

Continuity Manager Telephone

GENERAL CONTINUITY INFORMATION

1. In which FEMA region (s) is your organization's community located?

- ☐ I
- ☐ II
- ☐ III
- ☐ IV
- ☐ V
- ☐ VI
- ☐ VII
- ☐ VIII
- ☐ IX
- ☐ X

2. What are the primary natural hazards to your organization?

- ☐ Hurricane
- ☐ Tornado
- ☐ Flooding
- ☐ Earthquake
- ☐ Other

3. What are the primary industrial hazards to your organization?

- ☐ Nuclear test site/ transportation route
- ☐ Military bombing site
- ☐ Radioactive waste site
- ☐ Nuclear reactor
- ☐ Other
- ☐ None

4. What does the physical landscape of the community in which your organization operates resemble?

- ☐ Desert
- ☐ Mountainous/Hilly
- ☐ Flat and/or Treeless
- ☐ Forested
- ☐ Grassy, Plains area

5. What body of water is your organization situated near? (Mark as many boxes as appropriate).

- ☐ River
- ☐ Lake
- ☐ Ocean
- ☐ None

CONTINUITY EXPERIENCE

Please choose or write Yes, No, or N/A

1. Does your organization have a continuity plan?

2. Has your organization participated in continuity exercises?

3. Has your organization had to activate their continuity of operations plan?

4. Who is in charge of your Continuity Plan?

- ☐ Emergency Management
- ☐ Safety
- ☐ Security Department
- ☐ Other

5. What type of guidance does your organization use in developing its continuity of operations plans and programs?

- ☐ Federal Guidance
- ☐ State/Local Guidance
- ☐ Commercial Guidance
- ☐ Other

CONTINUITY MANAGEMENT FUNCTIONS SUMMARY

Table 1: Continuity Management Functions Summary

Continuity Category	CMF	Continuity Management Function	Total Yes	Total No	Total N/A
Elements of a Viable Continuity Capability	1.1	Essential Functions			
	1.2	Orders of Succession			
	1.3	Delegations of Authority			
	1.4	Continuity Facilities			
	1.5	Continuity Communications			
	1.6	Essential Records Management			
	1.7	Human Resources			
	1.8	Test, Training & Exercise Program			
	1.9	Devolution of Control and Direction			
	1.10	Reconstitution Operations			
Continuity Program Foundation	2.1	Program Plans and Procedures			
	2.2	Risk Management			
	2.3	Budget and Acquisition of Resources			
	2.4	Continuity Plan Operational Phases and Implementation (Appendix A)			

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CONTINUITY ASSISTANCE TOOL

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.1 ESSENTIAL FUNCTIONS

A subset of overall organization activities that are determined to be critical. These functions enable the organization to provide vital services, exercise civil authority, maintain the safety of the community, and sustain the industrial/economic base during an emergency. The functions must be continued under any and all circumstances.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of No	Number of Yes	Number of N/A

Attribute		***Please choose Yes, No, or N/A***
1.1.1	***Identify and prioritize all Essential Functions to enable the organization to provide vital services, exercise civil authority, maintains the safety of the general public, and sustain the industrial/economic base during any emergency***	

Characteristics

1.1.1.1*	Organization identified and prioritized their essential functions, using the methodology outlined in CGC 2, and documents them in its continuity plan. [CGC 1 Annex D, Page D-1, bullet #1]	*Pick One*

Comments

1.1.1.2	Organization reviewed its government functions to determine those directed by applicable laws, presidential directives, executive orders, and other directives. [CGC 1 Annex D, Page D-1, bullet #2]	*Pick One*

Comments

Pick One

1.1.1.3 Organization reviewed its government functions to determine those directed by applicable laws, presidential directives, executive orders, and other directives. [CGC 1 Annex D, Page D-1, bullet #2]

Comments

Pick One

1.1.1.4 Organization's BPA identified and mapped the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function. [CGC 1 Annex D, Page D-1, bullet #3a]

Comments

Attribute

1.1.2 ***Identify and prioritize all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/ economic base during any emergency.***

Characteristics ***Please choose Yes, No, or N/A***

1.1.2.1 The organization head or designee validated and approved the identified essential functions and BPA. [CGC 1 Annex D, Page D-1, bullet #3b] *Pick One*

Comments

1.1.2.2 Organization conducted a business-process flow map to identify how each essential function is performed and executed. [CGC 1 Annex D, Page D-1, bullet #4] *Pick One*

Comments

1.1.2.3 Organization determined the essential functions that need to be continued uninterrupted or resumed within 12 hours, regardless of circumstance. [CGC 1 Annex D, Page D-1, bullet #5] *Pick One*

Comments

1.1.2.4 Organization identified internal and external interdependencies that are part of and/ or influence each essential function business process. [CGC 1 Annex D, Page D-2, bullet #6] *Pick One*

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.2 ORDERS OF SUCCESSION

Provisions that enable an orderly and predefined transition of organizational leadership positions if an organization's leader is incapacitated or becomes otherwise unavailable during a continuity event.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box***

Tally	Number of No	Number of Yes	Number of N/A

Attribute

1.2.1 ***Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws.***

Characteristics		***Please choose Yes, No, or N/A***
1.2.1.1*	Organization established and documented orders of succession in advance and in accordance with applicable laws to ensure there is an orderly and predefined transition of leadership during any emergency. [CGC 1 Annex E, Page E-1, bullet #1]	*Pick One*

Comments

1.2.1.2*	Organization established an order of succession for the position of organization head to ensure a designated official is available to serve as acting head of the organization until that official is appointed by the appropriate authority, replaced by the permanently appointed official, or otherwise relieved. [CGC 1 Annex E, Page E-1, bullet #2]	*Pick One*

Comments

1.2.1.3*	Organization established orders of succession for other key organization leadership positions, including, but not limited to: administrators, regional or field directors, and key managers. [CGC 1 Annex E, Page E-1, bullet #3]	*Pick One*

Comments *(Section 1.2.1 Cont'd)*

1.2.1.4 Within each order of succession, organization included at least three positions permitted to succeed to the identified leadership position. [CGC 1 Annex E, Page E-1, bullet #4]

Pick One

Comments

Attribute

1.2.2 ***Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.***

Characteristics ***Please choose Yes, No, or N/A***

1.2.2.1 Organization described orders of succession by positions or titles, rather than by the names of the individuals holding those offices. [CGC 1 Annex E, Page E-1, bullet #5] *Pick One*

Comments

1.2.2.2 Organization included at least one individual in their order of succession who is geographically dispersed from the organization head and other individuals within the order of succession. All organizations should include an individual who is geographically dispersed in all HQ and non-HQ orders of succession, where feasible. [CGC 1 Annex E, Page E-1, bullet #6] *Pick One*

Comments

1.2.2.3 Organization at all levels coordinated the development and revision of their orders of succession with their general counsel or chief counsel to ensure legal sufficiency. [CGC 1 Annex E, Page E-1, bullet #7] *Pick One*

Comments

1.2.2.4 Organization included orders of succession in the essential records and ensured the records are available at all continuity facilities. [CGC 1 Annex E, Page E-2, bullet #8] *Pick One*

Comments

Attribute

1.2.3 Notify and train successors to leadership positions within the organization, with all training sessions recorded in the organization's training records.

Characteristics ***Please choose Yes, No, or N/A***

1.2.3.1 Organization revised orders of succession, as necessary, and distributed the revisions promptly as changes occurred to higher organization authorities, potential successors, affected staff, and others, as appropriate. [CGC 1 Annex E, Page E-2, bullet #9] *Pick One*

Comments

1.2.3.2 Organization conducted annual successor training for all personnel who assumed authority and responsibility of the organization's leadership if that leadership was incapacitated or became otherwise unavailable during a continuity situation? This includes: briefing successors to the position of the organization's head on their duties and responsibilities as a successor, as reflected within the organization's training records. [CGC 1 Annex E, Page E-2] *Pick One*

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.3 DELEGATIONS OF AUTHORITY

Specify who is authorized to act on behalf of the organization's chief, chairman, elected leader, and other key leaders for specified purposes. They ensure that designated individuals have the legal authority to carry out their duties.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.3.1 ***Identify and document the delegation of authority to make policy determinations and decisions for key organizational leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and other organization's locations, as appropriate. This action will ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.***

Characteristics		***Please choose Yes, No, or N/A***
1.3.1.1	Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions to make key policy decisions during a continuity situation. [CGC 1 Annex F, Page F-1, bullet #1]	*Pick One*

Comments

1.3.1.2*	Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions. This documentation outlines explicitly in a statement the authority, including any exceptions to that authority, of an official so designated to exercise organization direction. [CGC 1 Annex F, Page F-1, bullet #1a]	*Pick One*

Comments

1.3.1.3 Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions to delineate the limits of authority and accountability. [CGC 1 Annex F, Page F-1, bullet #1b]

Pick One

Comments

1.3.1.4 Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions to establish the rules and procedures designated officials must follow when facing the issues of succession to office. [CGC 1 Annex F, Page F-1, bullet #1c]

Pick One

Comments

1.3.1.5 Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions to outline the authority of officials to re-delegate functions and activities, as appropriate [CGC 1 Annex F, Page F- 1, bullet #1d]

Pick One

Comments

1.3.1.6* Organization established and documented, in advance, the legal authority for the position of Organization Head and other key supporting positions to make key policy decisions during a continuity situation. These policy decisions include defining the circumstances under which delegation of authorities would take effect and be terminated. [CGC 1 Annex F, Page F-1, bullet #1e]

Pick One

Comments

1.3.1.7 Organization established and documented in advance the legal authority for the position of Organization Head and other key supporting positions to including incorporating the conditions under which delegations will take place the method of notification; the duration the delegations may last; and the conditions when the delegations may be terminated. Additional conditions would include temporal, geographical, or organizational limitations to the authorities granted by the orders of succession or delegations of authorities, including the ability to re-delegate authorities. [CGC 1 Annex F, Page F-1, bullet #1f]

Pick One

Comments *(Section 1.3.1 Cont'd)*

Attribute

1.3.2 ***Inform and train key officials on the organization delegations of authority by recording all training sessions within the organization training records, so that the organization can transfer leadership authority in an orderly manner, when applicable, during a response to any emergency.***

Characteristics ***Please choose Yes, No, or N/A***

1.3.2.1* Organization informed those officials listed within the delegations of authority who might be expected to assume authorities in continuity activation. [CGC 1 Annex F, Page F-2, bullet #2] *Pick One*

Comments

1.3.2.2 Organization included delegations of authority as an essential record and ensured they are available at all continuity facilities. [CGC 1 Annex F, Page F-2, bullet #3] *Pick One*

Comments

1.3.2.3 Organization coordinated the development and revisions of delegations of authority with their general counsel or chief counsel to ensure legal sufficiency [CGC 1 Annex F, Page F-2, bullet #4] *Pick One*

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.4 CONTINUITY FACILITIES

Locations from which the organization leadership and critical positions may operate during a continuity event. This may include one or many facilities or virtual offices from which to continue essential operations.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.4.1 ***Identify alternate facilities, to include alternate usages of existing facilities and, as appropriate, virtual office options. The options would include telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable, operations under any circumstances.***

Characteristics		***Please choose Yes, No, or N/A***
1.4.1.1*	At a minimum, organization identified, prepared, and maintained continuity facilities, including an alternate site for the relocation of their ERG and a devolution site for the devolution of essential functions to the DERG. This capability can encompass separate facilities; alternate usages of existing facilities; and, as appropriate, work arrangements, including telework and mobile work. [CGC 1 Annex G, Page G-2, bullet #1]	*Pick One*

Comments

1.4.1.2	Organization reviewed continuity facilities annually for their suitability and functionality to ensure the facilities meet its continuity requirements. In addition, the organization documented the date of the review and names of personnel conducting the review. [CGC 1 Annex G, Page G-2, bullet #2]	*Pick One*

Comments

1.4.1.3 Organization chose continuity facilities located in areas where the potential disruption of the organization's ability to initiate and sustain operations is minimized, based upon their risk assessments. [CGC 1 Annex G, Page G-2, bullet #3]

Pick One

Comments

1.4.1.4* Continuity facilities have sufficient distance, based upon risk assessments and as judged by the organization, from the primary operating facility, threatened area, and other facilities or locations that are potential sources of disruptions or threats. [CGC 1 Annex G, Page G-3, bullet #4]

Pick One

Comments

1.4.1.5 Organization has all critical supplies and equipment pre-positioned or maintains detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. [CGC 1 Annex G, Page G-3, bullet #5]

Pick One

Comments

1.4.1.6 Organization ensured the continued availability of facility space and services by coordinating with site facility managers and property owners, if applicable. [CGC 1 Annex G, Page G-3, bullet #6]

Pick One

Comments

1.4.1.7 If continuity facilities are neither owned nor leased by the organization, organizations prepared and signed a MOA/MOU with the owner or occupant of the facility and reviewed the MOA/MOU annually, documenting the review with the date of review and names of personnel conducting the review. [CGC 1 Annex G, Page G-3, bullet #7]

Pick One

Comments

1.4.1.8 At a minimum, the MOAs/MOUs specified the required notification time for owner/occupant of the facility to have it configured and available for occupancy as a continuity facility. [CGC 1 Annex G, Page G-3, bullet #7a]

Pick One

Comments

1.4.1.9 At a minimum, the MOAs/MOUs specified the space and services to be provided at the facility. [CGC 1 Annex G, Page G-3, bullet #7b]

Pick One

Comments

1.4.1.10 At a minimum, the MOAs/MOUs specified the sole use of allocated space by the organization during the period of occupancy. [CGC 1 Annex G, Page G-3, bullet #7c]

Pick One

Comments

Attribute

1.4.2 ***Equip all organization's alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.***

Characteristics ***Please choose Yes, No, or N/A***

1.4.2.1 Organization established and maintained procedures for the orientation, in-processing, and reception of ERG and DERG personnel and for conducting operations and administration at all continuity facilities. [CGC 1 Annex G, Page G-3, bullet #8] *Pick One*

Comments

1.4.2.2 Organization identified alternate and devolution sites by either ensuring the capability exists at the facility prior to activation or by ensuring availability within the acceptable recovery time determined for their essential functions [CGC 1 Annex G, Page G-3, bullet #9] *Pick One*

Comments

1.4.2.3 Organization's alternate and devolution sites are capable of replication of essential capabilities by providing systems and configurations that are used in daily activities. [CGC 1 Annex G, Page G-3, bullet #9a] *Pick One*

Comments

1.4.2.4 Organization's alternate and devolution sites are capable of interoperable communications, including the means for secure communications if appropriate with all identified essential internal and external organizations, as well as with customers and the public. [CGC 1 Annex G, Page G-3, bullet #9b] *Pick One*

Comments *(Section 1.4.2 Cont'd)*

1.4.2.5* Organization ensured the alternate and devolution sites availability of computer equipment, software, and other automated data processing equipment necessary to carry out essential functions and information systems are up-to-date with the latest software and system updates. [CGC 1 Annex G, Page G-3, bullet #9c]

Pick One

Comments

1.4.2.6 Organization alternate and devolution sites have capabilities to access and use essential records necessary to facilitate the performance of essential functions. [CGC 1 Annex G, Page G-3, bullet #9d]

Pick One

Comments

1.4.2.7* Organization's alternate and devolution sites are capable of performing essential functions as soon as possible after continuity activation with minimal disruption of operations, the ability to maintain this capability for up to 30 days or until normal operations resume, and the capability to perform these essential functions under all threat conditions. [CGC 1 Annex G, Page G-4, bullet #9e]

Pick One

Comments

1.4.2.8 Organization's alternate and devolution sites planned for reliable logistical support, services, and infrastructure systems. [CGC 1 Annex G, Page G-4, bullet #9f]

Pick One

Comments

1.4.2.9* Organization's alternate and devolution sites have essential support resources available, such as food, water, fuel, medical facilities, and municipal services, such as fire and police, to ensure the health, safety, and security of ERG/DERG (Emergency Relocation Group/Devolution Emergency Response Group) members. [CGC 1 Annex G, Page G-4, bullet #9g]

Pick One

Comments

Attribute

1.4.3 ***Provide survivable protection and sustain continued, endurable operations under any circumstances from all organization's alternate facilities, to include alternate usages of existing facilities. In addition, as appropriate, virtual office options including telework.***

Characteristics ***Please choose Yes, No, or N/A***

1.4.3.1* Organization's alternate and devolution sites have the capability for emergency/back-up power capability, so that essential functions and operations can continue in the event the primary source of power is disrupted. [CGC 1 Annex G, Page G-4, 9h] *Pick One*

Comments

1.4.3.2 Organization's alternate and devolution sites have housing available to support the ERG/DERG at or near the continuity facilities, such as billeting within the facility, other locations, including motels, or at ERG/DERG members' homes if within commuting distance to the continuity facility. [CGC 1 Annex G, Page G-4, bullet #9i] *Pick One*

Comments

1.4.3.3 Organization's alternate and devolution sites have a defined transportation support plan that details ERG/DERG transportation to, from, and on the site. [CGC 1 Annex G, Page G-4, bullet #9j] *Pick One*

Comments

1.4.3.4 Organization ensured alternate and devolution sites have sufficient levels of physical and information security to protect against all threats, as identified in the facility's risk assessment and physical security surveys. This includes sufficient personnel to provide perimeter, access, and internal security, as required by organization policy. [CGC 1 Annex G, Page G-4, bullet #9k] *Pick One*

Comments *(Section 1.4.3 Cont'd)*

1.4.3.5 Organization incorporated telework into its continuity plans and procedures. [CGC 1 Annex G, Page G-4]

Pick One

Comments

1.4.3.6 Organization assessed essential functions to identify which functions the organization must conduct on-site and which functions the organization can conduct via telework, and evaluated the use of telework for supporting extended continuity operations and use by non-ERG personnel. [CGC 1 Annex G, Page G-4, bullet #1]

Pick One

Comments

1.4.3.7 For those essential functions that employees must conduct on-site,organization classified job by exposure risk level to pandemic influenza and notified those employees that they are expected to work on-site during an influenza pandemic. [CGC 1 Annex G, Page G-4, bullet #1a]

Pick One

Comments

1.4.3.8 Organization established and maintained plans and procedures to use telework as a primary or back-up continuity strategy for those essential functions and supporting tasks that are telework authorized, based upon the assessment. [CGC 1 Annex G, Page G-4, bullet #2]

Pick One

Comments

1.4.3.9 Organization established a policy under which eligible employees, both ERG and non-ERG personnel, are authorized to telework during a continuity event. [CGC 1 Annex G, Page G-4, bullet #3]

Pick One

Comments *(Section 1.4.3 Cont'd)*

1.4.3.10 Organization established and maintained plans and procedures for notifying all employees of their eligibility to telework during continuity activation. [CGC 1 Annex G, Page G-4, bullet #4]

Pick One

Comments

1.4.3.11 Organization ensured each eligible employee is authorized to telework during a continuity activation by successfully completing an interactive telework training program prior to entering into and signing a written telework agreement with his/her supervisor. [CGC 1 Annex G, Page G-4, bullet #5]

Pick One

Comments

1.4.3.12 Organization coordinated with organization's designated Telework Managing Officer when developing and integrating the continuity plan. [CGC 1 Annex G, Page G-4, bullet #6]

Pick One

Comments

1.4.3.13 Organizations using telework as a primary or back-up continuity strategy adhered to policy and guidance governing the use of telework. [CGC 1 Annex G, Page G-4]

Pick One

Comments

1.4.3.14 Organizations using telework as a primary or back-up continuity strategy provided protection of information and information systems used during telework activities according to government standards. [CGC 1 Annex G, Page G-4]

Pick One

Comments *(Section 1.4.3 cont'd)*

1.4.3.15 Organizations using telework as a primary or back-up continuity strategy coordinated with the organization's Chief Information Officer to identify equipment and technical support requirements. [CGC 1 Annex G, Page G-4]

Pick One

Comments

1.4.3.16 Organizations using telework as a primary or back-up continuity provided access to essential records and databases and the robust communications necessary to sustain an organization's essential functions at the telework site locations. [CGC 1 Annex G, Page G-4]

Pick One

Comments

1.4.3.17 Organizations using telework as a primary or back-up continuity strategy ensured continuance of a viable continuity capability in the event that telework is not a viable option (e.g., significant electrical and/or telecommunications infrastructure degradation). [CGC 1 Annex G, Page G-4]

Pick One

Comments

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1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.5 CONTINUITY COMMUNICATIONS

The systems that support full connectivity among the organizations's leadership internal elements, and other organizations to perform Essential Functions during a continuity event

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.5.1 Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.

Characteristics		***Please choose Yes, No, or N/A***
1.5.1.1*	Organization considered and addressed telecommunication services availability needs at primary and continuity facilities. [CGC 1 Annex H, Page H-1]	*Pick One*

Comments

1.5.1.2	Organization implemented minimum communications requirements for its primary facilities and its alternate and other continuity facilities, as appropriate, which support the continuation of that organization's essential functions. [CGC 1 Annex H, Page H-1, bullet #1]	*Pick One*

Comments

1.5.1.3	Organization possessed interoperable and available communications capabilities in sufficient quantity and mode/media. These communications are commensurate with that organization's responsibilities during conditions of an emergency. [CGC 1 Annex H, Page H-1, Bullet #2]	*Pick One*

Comments *(Section 1.5.1 Cont'd)*

1.5.1.4 Organization possessed communications capabilities that support the organization's senior leadership while they were in transit to continuity facilities? [CGC I Annex H, Page H-1, Bullet #3]

Pick One

Comments

Attribute

1.5.2 ***Verify that organization communications systems meet all the organization's needs, including those mandated by applicable directives and regulations, and train organization's personnel on and test all continuity communications systems that support full connectivity, under all conditions.***

Characteristic		***Please choose Yes, No, or N/A***
1.5.2.1	Organization ensured their communications capabilities were maintained and operational as soon as possible following a continuity activation, and were readily available for a period of sustained usage for up to 30 days or until normal operations were reestablished. Organizations should plan accordingly for essential functions that require uninterrupted communications and IT support, if applicable. [CGC 1 Annex H, Page H-1, bullet #4]	*Pick One*
Comments		
1.5.2.2	Organization demonstrated the ability to provide assured and priority access to communications resources. [CGC 1 Annex H, Page H-1, bullet #5]	*Pick One*
Comments		
1.5.2.3	Organization had sufficient communications capabilities to accomplish its essential functions from an alternate or other continuity facility shared with another organization, and also had a signed agreement between those organizations ensuring adequate access to communications resources. [CGC 1 Annex H, Page H-1, bullet #6]	*Pick One*
Comments		
1.5.2.4	Organizations possessed, operated, and maintained, or had dedicated access to communications capabilities at their primary facility, continuity-facility locations, and mobile communications capabilities. Communications capabilities ensure the continuation of those organizations' functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters. [CGC 1 Annex H, Page H-1]	*Pick One*

Comments *(Section 1.5.2 Cont'd)*

1.5.2.5 Organizations reviewed their continuity communications programs to ensure they were fully capable of supporting pandemic and other related emergencies. In addition, organizations should give full consideration to supporting social distancing operations including telework and other virtual offices. [CGC 1 Annex H, Page H-1]

Pick One

Comments

1.5.2.6 Organizations ensured that any additional communications capabilities acquired were compatible with existing equipment and complemented the established requirements. Organizations may expand or migrate, as appropriate, their communications capabilities to make use of emerging technologies. [CGC 1 Annex H, Page H-1]

Pick One

Comments

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1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.6 ESSENTIAL RECORDS MANAGEMENT

The systems that support full connectivity among the organizations's leadership internal elements, and other organizations to perform Essential Functions during a continuity event.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A
	0	0	0

Attribute

1.6.1 ***Verify that organization communications systems meet all the organization's needs, including those mandated by applicable directives and regulations, and train organization's personnel on and test all continuity communications systems that support full connectivity, under all conditions.***

Characteristics		***Please choose Yes, No, or N/A***
1.6.1.1*	Organization's official essential records program identified and protected those records that specify how an organization will operate in an emergency or disaster. [CGC 1 Annex I, Page I-1, bullet #1a]	*Pick One*

Comments

1.6.1.2*	Organization's official essential records program identified and protected those records necessary to the organization's continuing essential functions and resumption of normal operations. [CGC 1 Annex I, Page I-1, bullet #1b]	*Pick One*

Comments

1.6.1.3*	Organization's official essential records program identified those records needed to protect the legal and financial rights of the organization and the public. [CGC 1 Annex I, Page I-1, bullet #1c]	*Pick One*

Comments

1.6.1.4 Organization's official essential records program included appropriate policies, authorities, procedures and the written designation of an essential records manager. [CGC 1 Annex I, Page I-1, bullet #1d]

Pick One

Comments

1.6.1.5 Organization incorporated its essential records program into their overall continuity plans. [CGC 1 Annex I, Page I-1, bullet #2]

Pick One

Comments

Attribute

1.6.2 Maintain access to all essential records needed to continue Essential Functions and to resume normal operations throughout all phases of a continuity situation.

Characteristic ***Please choose Yes, No, or N/A***

1.6.2.1 Organization developed procedures to ensure that as soon as possible after activation of continuity plans, but in all cases within 12 hours of an activation, ERG/ DERG at the continuity facilities have access to the appropriate media for accessing essential records. [CGC 1 Annex I, Page I-2, bullet #3]

Pick One

Comments

1.6.2.2* Organization maintained a complete inventory of essential records, along with the locations of and instructions on accessing those records. This inventory must be maintained at a back-up/off-site location to ensure continuity if the primary operating facility is damaged or unavailable. Organizations should consider maintaining these inventories at a number of different sites to support continuity operations. [CGC 1 Annex I, Page I-2, bullet #4

Pick One

Comments

1.6.2.3 Organization conducted an essential records and database risk assessment and identified the risks involved. Essential records are retained in their current locations and media, and the difficulty of reconstituting the records if destroyed. [CGC 1 Annex I, Page I-2, bullet #5a]

Pick One

Comments

1.6.2.4 Organization's essential records and database risk assessment identified off-site storage locations and requirements. [CGC 1 Annex I, Page I-2, bullet #5b]

Pick One

Comments

Attribute

1.6.3 ***Create and maintain an essential records plan packet for the organization that includes all applicable materials needed during continuity operations.***

Characteristic ***Please choose Yes, No, or N/A***

1.6.3.1 Organization essential records and database risk assessment determined if alternative storage media was available. [CGC 1 Annex I, Page I-2, bullet #5c] *Pick One*

Comments

1.6.3.2 Organization essential records and database risk assessment determined requirements to duplicate records and provide alternate storage locations to maintain readily available essential records under all conditions. [CGC 1 Annex I, Page I-2, bullet #5d] *Pick One*

Comments

1.6.3.3 Organization made appropriate protections for essential records, to include dispersing those records to other organization locations or storing those records off-site. [CGC 1 Annex I, Page I-2, bullet #6] *Pick One*

Comments

1.6.3.4 Organization developed and maintained an essential records plan packet and included a virtual or hard copy of the packet at the continuity facilities. [CGC 1 Annex I, Page I-2, bullet #7] *Pick One*

Comments

1.6.3.5 Organization annually reviewed essential records plan packet and documented the date of the review and the names of personnel who conducted the review. [CGC 1 Annex I, Page I-2, bullet #7] *Pick One*

Comments *(Section 1.6.3 Cont'd)*

1.6.3.6 Organization essential records plan packet included a hard or soft copy of ERG members with up-to-date telephone numbers. [CGC 1 Annex I, Page I-2, bullet #7a]

Pick One

Comments

1.6.3.7 Organization essential records plan packet included an essential records inventory with the precise locations of essential records [CGC 1 Annex I, Page I-2, bullet #7b]

Pick One

Comments

1.6.3.8 Organization essential records plan packet included necessary keys or access codes. [CGC 1 Annex I, Page I-2, bullet #7c]

Pick One

Comments

1.6.3.9 Organization essential records plan packet included continuity facility locations. [CGC 1Annex I, Page I-2, bullet #7d]

Pick One

Comments

1.6.3.10 Organization essential records plan packet included access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). [CGC 1 Annex I, Page I-2, bullet #7e]

Pick One

Comments

1.6.3.11 Organization essential records plan packet included lists of records recovery experts and vendors. [CGC 1 Annex I, Page I-2, bullet #7f]

Pick One

Comments

1.6.3.12 Organization essential records plan packet included a copy of the organization's continuity plans. [CGC 1 Annex I, Page I-2, bullet #7g]

Pick One

Comments

Attribute

1.6.4 ***Review, train, and test the organization's essential records program and capabilities, with all training and testing sessions recorded within the organization records.***

Characteristics ***Please choose Yes, No, or N/A***

1.6.4.1 At a minimum, organization annually reviewed, rotated, or cycled essential records so that the latest versions are available. [CGC 1 Annex I, Page I-3, bullet #8] *Pick One*

Comments

1.6.4.2 Organization annually reviewed their essential records program to address new security issues, identify problem areas, update information, and incorporate any additional essential records generated by new organization programs or functions or by organizational changes to existing programs or functions. Organizations documented the date of the review and the names of personnel conducting the review. [CGC 1 Annex I, Page I-2, bullet #9] *Pick One*

Comments

1.6.4.3 Organizations developed instructions on moving essential records (those that have not been prepositioned) from the primary operating facility to the alternate site and include these instructions in its continuity plan. [CGC 1 Annex I, Page I-2, bullet #10] *Pick One*

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.7 HUMAN RESOURCES

Policies, plans, and procedures that address human resources needs during a continuity event, such as guidance regarding pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.7.1 Identify continuity leadership and staff and establish the organization's human resources procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Characteristic		***Please choose Yes, No, or N/A***
1.7.1.1*	Organization developed and implemented processes to identify, document, and prepare ERG members who are capable of relocating to alternate sites or teleworking and DERG members at the devolution site to support the continuation of the performance of essential functions. [CGC 1 Annex J, Page J-2, bullet #1]	*Pick One*

Comments

1.7.1.2*	Organization clearly defined the expectations, roles, and responsibilities of ERG and DERG members during a continuity activation. [CGC 1 Annex J, Page J-2, bullet #1a]	*Pick One*

Comments

1.7.1.3	Organization established and maintained appropriate point-of-contact rosters of trained ERG and DERG members who have the ability to perform essential functions. Organizations updated these rosters periodically and include, at a minimum, names, home, work, and cell telephone numbers. [CGC 1 Annex J, Page J-2, bullet #1b]	*Pick One*

Comments *(Section 1.7.1 Cont'd)*

1.7.1.4 Organizations ensured that ERG and DERG members were informed of and officially accepted their roles and responsibilities, in writing. [CGC 1 Annex J, Page J-2, bullet #1c]

Pick One

Comments

1.7.1.5 Organizations identified replacement personnel and augmentees, as necessary. [CGC 1 Annex J, Page J-2, bullet #1d]

Pick One

Comments

1.7.1.6 If bargaining unit employees were included as ERG or DERG members, organization ensured that all applicable collective bargaining obligations were satisfied. [CGC 1 Annex J, Page J-2, bullet #1e]

Pick One

Comments

1.7.1.7 Organization provided guidance to ERG members on individual preparedness measures they should take to ensure response to a continuity activation. [CGC 1 Annex J, Page J-2, bullet #2]

Pick One

Comments

Attribute

1.7.2 ***Communicate and train organization's personnel on applicable human resources procedures and considerations related to continuity.***

Characteristics ***Please choose Yes, No, or N/A***

1.7.2.1 Organization recommended the content and maintenance of drive-away kits for ERG members. [CGC 1 Annex J, Page J-3, bullet #3] *Pick One*

Comments

1.7.2.2 Organization provided guidance to all staff in preparing, planning, and staying informed during an emergency, including developing Family Emergency Plans. [CGC 1 Annex J, Page J-3, bullet #4] *Pick One*

Comments

1.7.2.3 Organization implemented a process to communicate the organization's operating status to all staff. [CGC 1 Annex J, Page J-3, bullet #5]. *Pick One*

Comments

1.7.2.4 Organization implemented a process to contact and account for all staff, including contractors, in the event of an emergency. All staff, including contractors, knew their responsibilities to report their accountability. [CGC 1 Annex J, Page J-3, bullet #6] *Pick One*

Comments

1.7.2.5	Organization established procedures and provided the ability to communicate with and coordinate activities with all personnel; continuity facilities and support teams; organizations with which the affected organization interacts; customers; and stakeholders before, during, and after a continuity event, including alert and notification. [CGC 1 Annex J, Page J-3, bullet #7]	*Pick One*

Comments

Attribute

1.7.3 ***Develop and integrate human resources strategies for all the organization's personnel during a continuity activation.***

Characteristics ***Please choose Yes, No, or N/A***

1.7.3.1 Organization worked with its labor unions in developing and bargaining over such procedures where bargaining unit employees were impacted. [CGC 1 Annex J, Page J-3, bullet #8] *Pick One*

Comments

1.7.3.2 Organization communicated how, and the extent to which, employees were expected to remain in contact with their organization during any closure situation. [CGC 1 Annex J, Page J-3, bullet #9] *Pick One*

Comments

1.7.3.3 Organizations established and maintained procedures to provide guidance to non- ERG personnel. [CGC 1 Annex J, Page J-3, bullet #10] *Pick One*

Comments

1.7.3.4 Organization facilitated dialogue among the Director of Human Resources, Telework Managing Officer, and Continuity Manager when developing their continuity plans. [CGC 1 Annex J, Page J-3, bullet #11] *Pick One*

Comments

1.7.3.5 Organization implemented a process to communicate its human resources guidance for emergencies, such as pay, leave, staffing, and other human resources flexibilities, to all staff. [CGC 1 Annex J, Page J-3, bullet #12]

Pick One

Comments

1.7.3.6 Within their continuity plans and procedures, organization included or referenced provisions and procedures for assisting all staff, especially those who are disaster survivors, with special human resources concerns following a catastrophic disaster. [CGC 1 Annex J, Page J-3, bullet #13]

Pick One

Comments

1.7.3.7 Organization's continuity program, plans, and procedures incorporated or referenced existing organization-specific guidance and policy for human resource management, such as guidance on pay, leave, work scheduling, benefits, telework, hiring authorities, and flexibilities. [CGC 1 Annex J, Page J-3, bullet #14]

Pick One

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.8 TEST, TRAINING, AND EXERCISE PROGRAM

Identifies, trains, and prepares personnel capable of performing continuity responsibilities and implementing procedures to support the continuation of the organization's Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.8.1 *Create, execute, and document an effective organization-wide continuity testing program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.*

Characteristics		***Please choose Yes, No, or N/A***
1.8.1.1	Organization developed and maintained a continuity TT&E program for conducting and documenting TT&E activities that identifies the components, processes, and requirements for the training and preparedness of personnel needed to support the continuation of the performance of essential functions. [CGC 1 Annex K, Page K-1, bullet #1]	*Pick One*

Comments

1.8.1.2	As part of its TT&E program, the organization documented all conducted TT&E events, including documenting the date of the event, those participating in the event, and the results of the event. [CGC 1 Annex K, Page K-1, bullet #2]	*Pick One*

Comments

1.8.1.3	The organization TT&E program utilized an all-hazards approach to demonstrate the viability of their continuity plans and programs. [CGC 1 Annex K, Page K-1, bullet #3]	*Pick One*

Comments *(Section 1.8.1 Cont'd)*

1.8.1.4 Continuity personnel demonstrated their understanding of and ability to perform assigned roles and responsibilities through participation in their organization's continuity TT&E program. [CGC 1 Annex K, Page K-1, bullet #4]

Pick One

Comments

1.8.1.5 Organization's testing program included and documented annual testing of alert notification and activation procedures for continuity and devolution personnel and quarterly testing of such procedures for personnel at the organization's HQ. [CGC 1 Annex K, Page K-1, bullet #5]

Pick One

Comments

1.8.1.6 Organization's testing program included and documented annual testing of recovery strategies for essential records (both classified and unclassified), critical information systems (both classified and unclassified), services, and data. [CGC 1 Annex K, Page K-2, bullet #6]

Pick One

Comments

1.8.1.7 Organization's testing program included and documented annual testing of capabilities for protecting essential records and information systems (both classified and unclassified) and for providing access from the continuity facilities. [CGC 1 Annex K, Page K-2, bullet #7]

Pick One

Comments

1.8.1.8 Organization's testing program included and documented annual testing of primary and backup infrastructure systems and services, such as: power, water, and fuel at continuity facilities. [CGC 1 Annex K, Page K-2, bullet #8]

Pick One

Comments *(Section 1.8.1 Cont'd)*

1.8.1.9 Organization's testing program included and documented annual testing and exercising of required physical security capabilities at continuity facilities. [CGC 1 Annex K, Page K-2, bullet #9]

Pick One

Comments

Attribute

1.8.2 ***Create, execute, and document an effective organization-wide continuity training program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.***

Characteristics ***Please choose Yes, No, or N/A***

1.8.2.1 Organization's testing program included and documented quarterly testing of the internal and external interoperability and viability of communications equipment and systems. [CGC 1 Annex K, Page K-2, bullet #10]

Pick One

Comments

1.8.2.2 Organization's testing program included and documented annual testing of the capabilities required to perform an organization's essential functions, as identified in the BPA. [CGC 1 Annex K, Page K-2, bullet #11]

Pick One

Comments

1.8.2.3 Organization's testing program included and documented annual testing of telework capabilities, to include IT infrastructure, required to support telework options during a continuity event. [CGC 1 Annex K, Page K-2, bullet #12]

Pick One

Comments

1.8.2.4 Organization's testing program included and documented annual testing of internal and external interdependencies identified in the organization's continuity plan, with respect to performance of an organization's and other organizations' essential functions. [CGC 1 Annex K, Page K-2, bullet #13]

Pick One

Comments

1.8.2.5 Organization's training program included and documented annual continuity awareness briefings or other means of orientation for the entire workforce. [CGC 1 Annex K, Page K-2, bullet #14]

Pick One

Comments

1.8.2.6 Organization's training program included and documented annual training on the roles and responsibilities for personnel, including host or contractor personnel, assigned to activate, support, and sustain continuity and devolution operations. [CGC 1 Annex K, Page K-2, bullet #15]

Pick One

Comments

Attribute

1.8.3 ***Create, execute, and document an effective organization-wide exercise program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.***

Characteristics ***Please choose Yes, No, or N/A***

1.8.3.1 Organization's training program included and documented annual briefings for ERG and DERG members on organization continuity and devolution plans that involve using, or relocating to, continuity facilities, existing facilities, or other work arrangements, such as telework. [CGC 1 Annex K, Page K-2, bullet #15a]

Pick One

Comments

1.8.3.2 Organization's training program included and documented annual training for ERG and DERG members on all reconstitution plans and procedures to resume normal organization operations at the original primary operating facility or replacement primary operating facility. [CGC 1 Annex K, Page K-2, bullet #15b]

Pick One

Comments

1.8.3.3 Organization's training program included and documented annual training for ERG and DERG members the activation of continuity plans, including unannounced relocation to alternate sites, to include telework options, and devolution of operations to devolution sites. [CGC 1 Annex K, Page K-2, bullet #15c]

Pick One

Comments

1.8.3.4 Organization's training program included and documented annual training for ERG and DERG members on the capabilities of communications and IT systems to be used during a continuity or devolution event. [CGC 1 Annex K, Page K-2, bullet #15d]

Pick One

Comments

1.8.3.5 Organization's training program included and documented annual training for ERG and DERG regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity or devolution activation. [CGC 1 Annex K, Page K-2, bullet #15e]

Pick One

Comments

1.8.3.6 Organization's training program included and documented annual training for ERG and DERG members on an organization's devolution option for continuity, to address how each organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency. [CGC 1 Annex K, Page K-2, bullet #15f]

Pick One

Comments

1.8.3.7 Organization's training program included and documented annual training for the organization's leadership on that organization's essential functions, including training on their continuity responsibilities. [CGC 1 Annex K, Page K-3, bullet #16]

Pick One

Comments

1.8.3.8 Organization's training program included and documented annual training for all staff who are expected to telework during a continuity activation regarding conducting essential functions from a telework site. Training included accessing and using records, communications, and systems. [CGC 1 Annex K, Page K-3, bullet #17]

Pick One

Comments

1.8.3.9 Organization's training program included and documented annual training for all organization personnel designated within the orders of succession for Organization Head or other key positions who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity activation. [CGC 1 Annex K, Page K-3, bullet #18]

Pick One

Comments

Attribute

1.8.4 ***Maintain an organizational Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.***

Characteristics ***Please choose Yes, No, or N/A***

1.8.4.1 Organization's training program included and documented annual training for those officials listed within the delegations of authority on all pre- delegated authorities for making policy determinations and other decisions, at the headquarters, regional, field, and other organizational levels, as appropriate. [CGC 1 Annex K, Page K-3, bullet #19]

Pick One

Comments

1.8.4.2 Organization's training program included and documented periodic briefings to managers about the essential records program and its relationship to their essential records and business needs. [CGC 1 Annex K, Page K-3, bullet #20]

Pick One

Comments

1.8.4.3 Organization's exercise program included and documented compliance with HSEEP, as appropriate. [CGC 1 Annex K, Page K-3, bullet #21]

Pick One

Comments

1.8.4.4 Organization's exercise program included and documented an annual opportunity for ERG members to demonstrate their familiarity with continuity plans and procedures and to demonstrate the organization's capability to continue its essential functions. [CGC 1 Annex K, Page K-3, bullet #22]

Pick One

Comments *(Section 1.8.4 Cont'd)*

1.8.4.5 Organization's exercise program included and documented an annual exercise that incorporated the deliberate and preplanned movement of ERG members to an alternate site. [CGC 1 Annex K, Page K-3, bullet #22a]

Pick One

Comments

1.8.4.6 Organization's exercise program included and documented an annual opportunity to demonstrate intra- and interagency communications capability. [CGC 1 Annex K, Page K-3, bullet #22b]

Pick One

Comments

1.8.4.7 Organization's exercise program included and documented an annual exercise or opportunity that demonstrated that backup data and records required to support essential functions at alternate sites were sufficient, complete, and current. [CGC 1 Annex K, Page K-3, bullet #22c]

Pick One

Comments

1.8.4.8 Organization's exercise program included and documented an annual opportunity that demonstrated familiarity with and capability to continue essential functions from telework sites, if used as a continuity strategy. [CGC 1 Annex K, Page K-3, bullet #22d]

Pick One

Comments

1.8.4.9 Organization's exercise program included and documented a biennial exercise for ERG members to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities when appropriate. [CGC 1 Annex K, Page K-3, bullet #23]

Pick One

Comments *(Section 1.8.4 Cont'd)*

1.8.4.10 Organization's exercise program included and documented a biennial exercise for DERG members to demonstrate their familiarity with devolution procedures. [CGC 1 Annex K, Page K-3, bullet #24]

Pick One

Comments

1.8.4.11 Organization's exercise programs included and documented a comprehensive debriefing or hot wash after each exercise. [CGC 1 Annex K, Page K-3, bullet #25].

Pick One

Comments

1.8.4.12 Organization's exercise program included and documented cycle of events that incorporated evaluations, AARs, and lessons learned into the development and implementation of a Corrective Action Program (CAP). [CGC 1 Annex K, Page K-4, bullet #26]

Pick One

Comments

1.8.4.13 Organization's exercise program included and documented its CAP to assist in documenting, prioritizing, and resourcing continuity issues across all continuity elements identified during TT&E, assessments, and emergency operations. [CGC 1 Annex K, Page K-4, bullet #27]

Pick One

Comments

1.8.4.14 Organization's CAP identified continuity deficiencies and other areas requiring improvement. [CGC 1 Annex K, Page K-4, bullet #27a]

Pick One

Comments

1.8.4.15	Organization's CAP provided responsibilities and a timeline for corrective action. [CGC 1 Annex K, Page K-4, , bullet #27b]	*Pick One*

Comments

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.9 DEVOLUTION OF CONTROL AND DIRECTION

The transfer of functions and responsibilities from the primary staff to other offices/locations and staff.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.9.1 ***Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.***

Characteristics ***Please choose Yes, No, or N/A***

1.9.1.1* Organization developed a devolution option for continuity to address how it will identify and conduct its essential functions when the primary operating facility, alternate site, and/or ERG members are not available. [CGC 1 Annex L, Page L-1, bullet #1] *Pick One*

Comments

1.9.1.2* Organization addressed the following elements of a viable continuity capability in their devolution option: program plans and procedures, risk management, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, continuity communications, essential records management, human resources, TT&E, and reconstitution. [CGC 1 Annex L, Page L-2, bullet #2] *Pick One*

Comments

1.9.1.3 For each identified essential function, organization determined the necessary resources to facilitate the immediate and seamless transfer of each function to the devolution site. [CGC 1 Annex L, Page L-2, bullet #3]

Pick One

Comments

1.9.1.4 Organization included a roster that identifies fully trained DERG members stationed at the designated devolution site who have the authority to perform essential functions when the devolution option of the continuity plan is activated. [CGC 1 Annex L, Page L-2, bullet #4]

Pick One

Comments

1.9.1.5 Organization identified what would likely activate or "trigger" the devolution option. [CGC 1 Annex L, Page L-2, bullet #5]

Pick One

Comments

Attribute

1.9.2 ***Develop a devolution plan or procedures that address the resource and training considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.***

Characteristics ***Please choose Yes, No, or N/A***

1.9.2.1 Organization specified how and when direction and control of organization operations would transfer to and from the devolution site. [CGC 1 Annex L, Page L-2, bullet #6] *Pick One*

Comments

1.9.2.2 Organization listed the necessary resources, such as equipment and materials, to facilitate the performance of essential functions at the devolution site. [CGC 1 Annex L, Page L-2, bullet #7] *Pick One*

Comments

1.9.2.3 Organization established and maintained reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. [CGC 1 Annex L, Page L-2, bullet #8] *Pick One*

Comments

1.9.2.4 Organization established and maintained procedures in order to transition responsibilities to personnel at the primary operating facilities upon termination of devolution. [CGC 1 Annex L, Page L-2, bullet #9] *Pick One*

Comments *(Section 1.9.2 Cont'd)*

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Management Function

1.10 RECONSTITUTION OPERATIONS

Reconstitution planning is the process by which the organization's personnel resume normal operations from the original or a replacement primary operating facility.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

1.10.1 ***Identify and outline a reconstitution plan and procedures so that the organization is fully capable of accomplishing all Essential Functions and normal operations at the new or restored facility once the organization's heads or their successors determined it is okay to return from all alternate facilities.***

Characteristics		***Please choose Yes, No, or N/A***
1.10.1.1*	Organization developed a reconstitution plan that provided the ability to recover from the effects of an emergency for transitioning back to efficient normal operational status from continuity operations status, once a threat or disruption has passed. [CGC 1 Annex M, Page M-1, bullet #1]	*Pick One*

Comments

1.10.1.2	Organization reconstitution plan determined how the organization assessed the status of affected personnel, assets, and facilities. [CGC 1 Annex M, Page M-1, bullet #1a]	*Pick One*

Comments

1.10.1.3	Organization reconstitution plan included redeployment plans for phasing down continuity facility operations and supervising the return of operations, personnel, records, and equipment to the primary or other operating facility in a priority-based approach, when appropriate. [CGC 1 Annex M, Page M-1, bullet #1b]	*Pick One*

Comments *(Section 1.10.1 Cont'd)*

1.10.1.4 Organization reconstitution plan outlined the necessary procedures for conducting a smooth transition from the continuity facility to either the normal primary operating facility, another temporary facility, or a new permanent facility. [CGC 1 Annex M, Page M-1, bullet #1c]

Pick One

Comments

1.10.1.5 Organization reconstitution plan detailed how the organization informed all personnel that the actual emergency or the threat of an emergency, and the necessity for continuity operations no longer existed, and instructed personnel on how to resume normal operations. [CGC 1 Annex M, Page M-1, bullet #1d]

Pick One

Comments

1.10.1.6 Organization reconstitution plan outlined how the organization verified operational capability and availability, including systems, communications, essential records, infrastructure, and other required resources, and that the organization was fully capable of accomplishing all essential functions and operations at the new or restored facility. [CGC 1 Annex M, Page M-1, bullet #1e]

Pick One

Comments

1.10.1.7 Organization reconstitution plan identified how the organization will determine which (if any) records were affected by the incident and ensured an effective transition or recovery of essential records and databases and other records that had not been designated as essential records. [CGC 1 Annex M, Page M-1, bullet #1f]

Pick One

Comments

1.10.1.8 Organization coordinated and pre-planned options for organization reconstitution, regardless of the level of disruption that originally prompted the organization to implement its continuity plans. [CGC 1 Annex M, Page M-1, bullet #2]

Pick One

Comments *(Section 1.10.1 Cont'd)*

1.10.1.9 Organization designated a Reconstitution Manager and a Devolution Reconstitution Manager (if the primary reconstitution manager is located at the primary operating facility) to oversee all phases of the reconstitution process. [CGC 1 Annex M, Page M-2, bullet #3]

Pick One

Comments

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2. CONTINUITY PROGRAM FOUNDATION

Continuity Management Function

2.1 PROGRAM PLANS AND PROCEDURES

Continuity planning is an effort to document the existence of, and seek the capability to continue organization's Essential Functions during a wide range of potential emergencies.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

2.1.1 ***Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's Essential Functions under all circumstances.***

Characteristics	***Please choose Yes, No, or N/A***
2.1.1.1* Organization developed and documented a continuity plan and its supporting procedures so that, when implemented, the plan and procedures provide for the continued performance of an organization's essential functions under all circumstances and provide for integration with other Government and non-government organizations, as appropriate. [CGC 1 Annex A, Page A-2, bullet #1]	*Pick One*
Comments	
2.1.1.2* The Organization Head or designee approved and signed the continuity plan, to include significant updates or addendums. [CGC 1 Annex A, Page A-2, bullet #2]	*Pick One*
Comments	
2.1.1.3 Organization annually reviewed its continuity plan and updated, if changes occurred, and documented the date of the review and the names of personnel conducting the review. [CGC 1 Annex A, Page A-2, bullet #3]	*Pick One*

Comments *(Section 2.1.1 Cont'd)*

2.1.1.4* Organization's continuity plan incorporated continuity requirements into daily operations and ensured seamless and immediate continuation of essential function capabilities [CGC 1 Annex A, Page A-2, bullet # 4]

Pick One

Comments

2.1.1.5 All non-HQ organization entities, including subcomponent, regional and field offices, annually submitted certification by the Organization Head or a designee that the component/office maintains a continuity plan and the date of plan signature to its organization HQ. [CGC 1 Annex A, Page A-2, bullet #5a]

Pick One

Comments

2.1.1.6 All non-HQ organization entities, including subcomponent, regional and field offices, annually submitted certification by the Organization Head or a designee that the component/office participated in an annual exercise that incorporated the deliberate and pre-planned movement of continuity personnel to an alternate site and the date of the last exercise to its organization HQ. [CGC 1 Annex A, Page A-2, bullet #5b]

Pick One

Comments

2.1.1.7 Organization HQs maintained a record of the date of continuity plan signature and last continuity exercise for the HQ and all components. [CGC 1 Annex A, Page A-2, bullet #6]

Pick One

Comments

Attribute

2.1.2 ***Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue the organization's Essential Functions during a wide range of potential emergencies and under all circumstances.***

Characteristics ***Please choose Yes, No, or N/A***

2.1.2.1* The continuity plan and procedures addressed key elements of continuity: essential functions, orders of succession, delegations of authority, continuity facilities, continuity communications, essential records, human resources, TT&E, devolution, and reconstitution; and addressed the requirements associated with each element as found in this CGC. [CGC 1 Annex A, Page A-2, Plan Considerations, bullet #1] *Pick One*

Comments

2.1.2.2* The continuity plan and procedures addressed the supporting elements of continuity: program plans and procedures, risk management, budgeting and acquisition, and operational phases and implementation; and addressed requirements associated with each element as found in CGC 1. [CGC 1 Annex A, Page A-3, bullet #2] *Pick One*

Comments

2.1.2.3 The continuity plan and procedures addressed the four phases of continuity: (1) readiness and preparedness, (2) activation, (3) continuity operations, and (4) reconstitution. [CGC 1 Annex A, Page A-3, bullet #3] *Pick One*

Comments

2.1.2.4 The continuity plan and procedures provided a process for determining the organization's readiness posture and for decision-making regarding its corresponding actions to increase readiness postures. [CGC 1 Annex A, Page A-3, bullet #4] *Pick One*

Comments

2.1.2.5 The continuity plan and procedures provided a process or methodology that ensured plan implementation including a decision matrix for continuity plan activation with warning during duty and non-duty hours and without warning during duty and non-duty hours. [CGC 1 Annex A, Page A-3, bullet #5]

Pick One

Comments

2.1.2.6* The continuity plan and procedures established and maintained appropriate relocation procedures and instructions for how ERG members will relocate to alternate sites. [CGC 1 Annex A, Page A-3, bullet #6]

Pick One

Comments

2.1.2.7 The organization established and maintained appropriate procedures and instructions on devolving functions to the DERG at a devolution site. [CGC 1 Annex A, Page A-3, bullet #7]

Pick One

Comments

2.1.2.8 The continuity plan and procedures detailed the transition of responsibilities to the deployed ERG or DERG. [CGC 1 Annex A, Page A-3, bullet #8]

Pick One

Comments

Attribute

2.1.3 ***The organization plans or procedures include instructions for the execution of all Essential Functions at the alternate facility, in accordance with applicable continuity guidance that, when implemented, ensure the capability to continue the organization's Essential Functions during a wide range of potential emergencies and under all circumstances.***

Characteristics ***Please choose Yes, No, or N/A***

2.1.3.1* The continuity plan and procedures provided a process for attaining operational capability at all continuity facilities within the minimal acceptable period for essential function disruption, but in all cases within 12 hours of plan activation for PMEFs and for MEFs and Essential Supporting Activities associated with the performance of PMEFs. [CGC 1 Annex A, Page A-3, bullet #9]

Pick One

Comments

2.1.3.2 The continuity plan and procedures provided a process or methodology ensuring that sustained operations can be maintained for up to 30 days or until normal operations resume. This includes planning past 30 days for the challenges posed by extended events. [CGC 1 Annex A, Page A-3, bullet #10]

Pick One

Comments

2.1.3.3* The continuity plan and procedures ensured essential resources, facilities, and records were safeguarded, available, and accessible to support continuity operations. Essential resources should include ERG members, equipment, systems, infrastructure, supplies, and other assets required to perform an organization's essential functions. [CGC 1 Annex A, Page A-3, bullet #11]

Pick One

Comments

2. CONTINUITY PROGRAM FOUNDATION

Continuity Management Function

2.2 RISK MANAGEMENT

Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization's readiness, and to provide them with options for risk mitigation.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number ofYes	Number of No	Number of N/A

Attribute

2.2.1 ***The organization uses a risk management process to identify, control, and minimize the impact of uncertain events.***

Characteristics	***Please choose Yes, No, or N/A***
2.2.1.1 Organizations applied a risk-based framework across all continuity efforts in order to identify and assess potential hazards, determine what levels of relative risk are acceptable, and allocate resources and budgets to ensure continuity under all manners of incident conditions. [CGC 1 Annex B, Page B-5, bullet #1]	*Pick One*

Comments

2.2.1.2 Organizations conducted and documented a risk assessment, to include a Business Impact Analysis, against all hazards at least every five years. All capabilities associated with the continuance of essential functions, to include all primary operating facilities, continuity facilities, personnel, systems, and records should be tested. [CGC 1 Annex B, Page B-5, bullet #2]	*Pick One*

Comments

2.2.1.3 The risk assessment included identification of potential, known risk and the likelihood of its occurrence, which had direct impact on the ability of the organization to support the continuation of essential functions. [CGC 1 Annex B, Page B-5, bullet # 2a]

Pick One

Comments

2.2.1.4 The risk assessment included an assessment of the vulnerability of the organization and its essential functions to identified hazards. [CGC 1 Annex B, Page B-5, bullet # 2b]

Pick One

Comments

2.2.1.5 The risk assessment included an assessment of the impact of the failure of the identified essential functions caused by identified hazards. [CGC 1 Annex B, Page B-5, bullet #2c]

Pick One

Comments

2.2.1.6 The risk assessment included identification of appropriate mitigation and protective measures, including measures necessary during a pandemic influenza. [CGC 1 Annex B, Page B-5, bullet # 2d]

Pick One

Comments

2.2.1.7 The risk assessment included a cost-benefit analysis of implementing risk mitigation, prevention, or control measures. [CGC 1 Annex B, Page B-5, bullet #2e]

Pick One

Comments

2.2.1.8 Organization developed operational plans to provide and implement selected mitigation, prevention, protection, or control measures, to decrease the threat of and impact from identified risks, to include pandemic. [CGC 1 Annex B, Page B-5, bullet #2f]

Pick One

Comments *(Section 2.2.1 Cont'd)*

2.2.1.9 Organization conducted an analysis of the remaining risk based on implemented measures. [CGC 1 Annex B, Page B-5, bullet #3a] *Pick One*

Comments

2. CONTINUITY PROGRAM FOUNDATION

Continuity Management Function

2.3 BUDGETING AND ACQUISITION OF RESOURCES

The budgeting and planning process can help the organization's leaders provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.

*****Form Instructions: Please pick from the drop down menus, or write your choice of Yes, No, or N/A in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

2.3.1 ***Through the budgeting process, an organization's leaders and staff will ensure critical continuity resources are available to continue performing the organization's Essential Functions before, during, and after a continuity event.***

Characteristics	***Please choose Yes, No, or N/A***
2.3.1.1* Organization identified and provided continuity funding and specific budgetary requirements for all levels of their organizations. This included subordinate components and regional and field offices to establish and maintain the requirements for all elements of a viable and resilient continuity capability. [CGC 1 Annex C, Page C-1, bullet #1]	*Pick One*

Comments

2.3.1.2 Organization developed a Continuity Multi-Year Strategy and Program Management Plan (MYSPMP) that provided for the development, maintenance, and annual review of continuity capabilities. [CGC 1 Annex C, Page C-1, bullet #2]	*Pick One*

Comments

2.3.1.3 Organization's MYSPMP considered the organization's performance of essential functions. [CGC 1 Annex C, Page C-1, bullet #2a]	*Pick One*

Comments *(Section 2.3.1 Cont'd)*

2.3.1.4 Organization's MYSPMP considered the organization's short-term and long-term goals and objectives for plans and procedures. [CGC 1 Annex C, Page C-1, bullet #2b]

Pick One

Comments

2.3.1.5 Organization's MYSPMP considered the organization's issues, concerns, and potential obstacles to implementing their program, as well as a strategy for addressing these, as appropriate. [CGC 1 Annex C, Page C-1, bullet #2c]

Pick One

Comments

2.3.1.6 Organization's MYSPMP considered the organization's planning, training, and exercise activities, as well as milestones for accomplishing these activities. [CGC 1 Annex C, Page C-1, bullet #2d]

Pick One

Comments

2.3.1.7 Organization's MYSPMP considered the organization's ERG members, infrastructure, communications, transportation, and other resources need to support the program. [CGC 1 Annex C, Page C-1, bullet #2e]

Pick One

Comments

2.3.1.8 Organization's MYSPMP considered the organization's budgetary requirements to support the program. [CGC 1 Annex C, Page C-1, bullet #2f]

Pick One

Comments

2.3.1.9 Organization's MYSPMP considered the organization's risk management principles and primary operating facility and continuity facility risk assessments to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. [CGC 1 Annex C, Page C-2, , bullet #2g]

Pick One

Comments

2.3.1.10 Organization's MYSPMP considered the organization's geographic dispersion into the organization's normal daily operations, as appropriate. [CGC 1 Annex C, Page C-2, bullet #2h]

Pick One

Comments

2.3.1.11 Organization's MYSPMP considered the organization's security strategies that address personnel, physical, and information security to protect plans, personnel, facilities, and capabilities, to prevent adversaries from disrupting continuity plans and operations. [CGC 1 Annex C, Page C-2, bullet #2i]

Pick One

Comments

2.3.1.12 Organization's MYSPMP considered the organization's Corrective Action Program (CAP) that draws upon evaluations, after-action reports, and lessons learned from tests, training, and exercises and real world events. [CGC 1 Annex C, Page C-2, bullet #2j]

Pick One

Comments

2.3.1.13 Organization integrated continuity budgets with their MYSPMP and linked the budgets directly to objectives and metrics set forth in that plan. [CGC 1 Annex C, Page C-2, bullet #3]

Pick One

Comments

Attribute

2.3.2 ***Through the acquisition process, an organization's leaders and staff will ensure critical continuity resources are available to continue performing the organization's Essential Functions before, during, and after a continuity event.***

Characteristics ***Please choose Yes, No, or N/A***

2.3.2.1* Organization identified provisions for the acquisition and procurement of necessary equipment, supplies, resources, and personnel that are not already in place at the continuity facilities on an emergency basis and needed to sustain operations for up to 30 days or until normal operations resume. [CGC 1 Annex C, Page C-2, bullet #4]

Pick One

Comments

2.3.2.2 Organization identified and integrated continuity requirements into existing and future contracts, as applicable, to ensure continuation of essential functions during crisis and sustainment for up to 30 days or until normal operations resume. [CGC 1 Annex C, Page C-2, bullet #5]

Pick One

Comments

APPENDIX A: OPERATIONAL PHASES AND IMPLEMENTATION

2. CONTINUITY PROGRAM FOUNDATION

Continuity Management Function

2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION

The organization must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on the organization's readiness posture. The organization should integrate implementation procedures and criteria into their continuity plans. The organization's continuity plan must address the four phases of: (1) readiness and preparedness, (2) activation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the organization's Essential Functions before, during, and after an emergency or disaster and under all conditions.

*****Form Instructions: Please pick from the drop down menus, or write your choice in each box.***

Tally	Number of Yes	Number of No	Number of N/A

Attribute

2.4.1 ***Respond to continuity events through completion of the organization readiness, preparedness, and activation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.***

Characteristics		***Please choose Yes, No, or N/A***
2.4.1.1*	During the exercise or event, organization followed procedures for the readiness and preparedness phase within its continuity plan and procedures. [CGC 1 Annex N, Page N- 2, bullet #1]	*Pick One*

Comments

2.4.1.2*	During the exercise or event, organization followed procedures for plan implementation, including using its decision matrix for continuity plan activation. [CGC 1 Annex N, Page N-2, bullet #2]	*Pick One*

Comments

2.4.1.3 During the exercise or event, organization alerted and notified all staff (ERG, non-ERG, and DERG, if applicable) of continuity plan activation. [CGC 1 Annex N, Page N-2, bullet #3a]

Pick One

Comments

2.4.1.4 During the exercise or event, organization alerted and notified continuity facilities and on-site support teams of continuity plan activation. [CGC 1 Annex N, Page N-2, bullet #3b]

Pick One

Comments

2.4.1.5 During the exercise or event, organization alerted and notified independent agencies, other points-of-contact, stakeholders, vendors, and customers of continuity plan activation. [CGC 1 Annex N, Page N-2, bullet #3c & d]

Pick One

Comments

2.4.1.6 During the exercise or event, organization reported continuity activation status: non-HQ organizations notified their organizations HQ upon activation of continuity plans.[CGC 1 Annex N, Page N-2, bullet #4a]

Pick One

Comments

2.4.1.7 During the exercise or event, organization followed procedures for the relocation of ERG members and essential records to the alternate sites or activation of devolution site. [CGC 1 Annex N, Page N-2, bullet #5]

Pick One

Comments

Attribute

2.4.2 ***Respond to continuity events through completion of the organization relocation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.***

Characteristics ***Please choose Yes, No, or N/A***

2.4.2.1 During the exercise or event, organization conducted in-processing, reception, and accountability of ERG members at the alternate site or DERG members at the devolution site. [CGC 1 Annex N, Page N-2, bullet #7] *Pick One*

Comments

2.4.2.2* During the exercise or event, organization transitioned responsibilities from the primary operating facility to deployed ERG members at alternate site or DERG members at devolution site. [CGC 1 Annex N, Page N-2, bullet #8] *Pick One*

Comments

2.4.2.3 During the exercise or event, organization accounted for all staff. [CGC 1 Annex N, Page N-2, bullet #9] *Pick One*

Comments

2.4.2.4 During the exercise or event, organization communicated instructions and operating status with all personnel before, during, and after the continuity event. [CGC 1 Annex N, Page N-3, bullet #10] *Pick One*

Comments

2.4.2.5	During the exercise or event, organization utilized human resources guidance for emergencies, as needed, to assist the organization in continuing essential functions. [CGC 1 Annex N, Page N-3, bullet #11]	*Pick One*

Comments

Attribute

2.4.3 ***Respond to and attain operational capability during continuity events through completion of the organization continuity operations plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.***

Characteristics ***Please choose Yes, No, or N/A***

2.4.3.1* During the exercise or event, organization provided guidance to non-ERG personnel. [CGC 1 Annex N, Page N-3, bullet #12] *Pick One*

Comments

2.4.3.2* During the exercise or event, organization identified and alerted replacement personnel and augmentees, as necessary. [CGC 1 Annex N, Page N-3, bullet #13] *Pick One*

Comments

2.4.3.3* During the exercise or event, organization performed all essential functions within the recovery time objective identified, under all threat conditions, from its continuity facilities (alternate sites or devolution sites), including the ability to maintain this capability until normal business activities resumed. [CGC 1 Annex N, Page N-3, bullet #14] *Pick One*

Comments

2.4.3.4* During the exercise or event, organization possessed sufficient quantity and mode/ media of interoperable and available redundant and survivable communication capabilities to enable performance of essential functions. [CGC 1 Annex N, Page N-3, bullet #14a] *Pick One*

Comments

2.4.3.5* During the exercise or event, organization possessed capabilities to access and use essential records necessary to facilitate the performance of essential functions, to include having access to the appropriate media for accessing essential records. [CGC 1 Annex N, Page N-3, bullet #14b]

Pick One

Comments

2.4.3.6* During the exercise or event, organization possessed sufficient levels of physical security to protect against all threats identified in the continuity facility's risk assessment. [CGC 1 Annex N, Page N-3, bullet #14c]

Pick One

Comments

2.4.3.7* During the exercise or event, organization possessed sufficient levels of information security to protect against all threats identified in the continuity facility's risk assessment. [CGC 1 Annex N, Page N-3, bullet #14d]

Pick One

Comments

2.4.3.8* During the exercise or event, organization procured necessary equipment and supplies needed to support and continue essential functions and sustain operations that are not already in place. [CGC 1 Annex N, Page N-3, bullet #15]

Pick One

Comments

2.4.3.9* During the exercise or event, organization identified all available organization leadership at the continuity facilities and conducted the orderly and pre-defined transition of leadership, for the position of Organization Head, as well as for key supporting positions, in accordance with orders of succession and delegations of authority, as applicable. [CGC 1 Annex N, Page N-3, bullet #16]

Pick One

Comments

2.4.3.10 During the exercise or event, organization coordinated with appropriate organizations for support in acquiring, equipping, and sustaining an appropriate reconstitution sited based on the total office area square footage required to accommodate staff, special needs space (i.e., labs or classified facilities), equipment and IT needs, and space configuration (i.e., work areas, conference rooms, etc.). [CGC 1 Annex N, Page N-3, bullet #17a, b, c, &d]

Pick One

Comments

2.4.3.11 During the exercise or event, organization verified that all systems, communications, and other required capabilities are available and operational at the new or restored primary operating facility and that the organization is fully capable of performing all essential functions and operations at the new or restored primary operating facility. [CGC 1 Annex N, Page N-3, bullet #18]

Pick One

Comments

2.4.3.12 During the exercise or event, organization assessed the status of affected facilities, determined how much time was needed to repair the affected facility and/or acquire a new facility, supervised facility repairs, and notified decision-makers of the status of repairs, including estimated date of completion of repairs. [CGC 1 Annex N, Page N-3, bullet #19]

Pick One

Comments

2.4.3.13 During the exercise or event, organization informed all personnel that the actual emergency or the threat of an emergency, and the necessity for continuity operations no longer existed, and instructed personnel on how to resume normal operations. [CGC 1 Annex N, Page N-3, bullet #20]

Pick One

Comments

2.4.3.14 During the exercise or event, organization phased down continuity site operations and supervised the return of operations, personnel, records, and equipment to the primary or other operating facility in a priority-based approach, when appropriate. [CGC 1 Annex N, Page N-3, bullet #21]

Pick One

Comments *(Section 2.4.3 Cont'd)*

2.4.3.15 During the exercise or event, organization conducted a smooth transition from the continuity facility to either the normal operating facility or a move to another temporary facility or a new permanent primary operating facility. [CGC 1 Annex N, Page N-4, bullet #22]

Pick One

Comments

2.4.3.16 During the exercise or event, organization determined which (if any) records were affected by the incident and ensured an effective transition or recovery of essential records and databases and other records that had not been designated as essential records. [CGC 1 Annex N, Page N4, bullet #23]

Pick One

Comments

APPENDIX B: REFERENCES

Source Document:

Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments, (States, Territories, Tribes, and Local Government Jurisdictions).*

1 Elements of a Viable Continuity Capability	
1.1 Essential Functions	CGC 1, Annex D
1.2 Orders Of Succession	CGC 1, Annex E
1.3 Delegations Of Authority	CGC 1, Annex F
1.4 Continuity Facilities	CGC 1, Annex G
1.5 Continuity Communications	CGC 1, Annex H
1.6 Essential Records Management	CGC 1, Annex I
1.7 Human Resources	CGC 1, Annex J
1.8 Test, Training, And Exercise (TT&E) Program	CGC 1, Annex K
1.9 Devolution Of Control And Direction	CGC 1, Annex L
1.10 Reconstitution Operations	CGC 1, Annex M
2 Continuity Program Foundation	
2.1 Program Plans And Procedures	CGC 1, Annex A
2.2 Risk Management	CGC 1, Annex B
2.3 Budgeting And Acquisition Of Resources	CGC 1, Annex C
2.4 Continuity Plan Operational Phases And Implementation	CGC 1, Annex N

Point of Contact (POC):

For any questions or additional assistance regarding CGC 1, contact:
State, Territorial, Tribal, and Local Branch
Continuity of Operations Division
FEMA National Continuity Programs
FEMA-STTLContinuity@fema.dhs.gov

APPENDIX C: CONTINUITY PRACTITIONER COURSES

Organizations are encouraged to enroll in the Continuity of Operations Excellence Series. It is dedicated to recognizing and enhancing excellence in the development and implementation of Continuity programs. The Series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II).

Below is the list of required elements needed to achieve the **Professional Continuity Practitioner Certification**.

Level I: Professional Continuity Practitioner

IS 546.a: COOP Awareness Course

IS 547.a: Introduction to COOP

IS 242 or equivalent E/L/G course: Effective Communication

E/L/G 548 or IS 548: Continuity of Operations Manager's Course (T-t-T); or E/G/L 549: Continuity of Operations (COOP) Program Manager Course; or MGT 331: University of Maryland Preparing the States Continuity Courses

E/L/G 550: Continuity of Operations Planner's Workshop (T-t-T); or IS 550: Continuity Planner's Workshop; or L 552: Continuity of Operations for Tribal Government Course

ICS 100 or IS 100.b: Introduction to Incident Command System (ICS) or ICS 200 or IS 200.b: Incident Command System (ICS) for Single Resources and Initial Action Incidents

IS 230 or 230.a or equivalent E/L course: Fundamentals of Emergency Management

IS 700.a: Introduction to National Incident Management Systems (NIMS) or IS 700

IS 800b: A National Response Framework (NRF), An Introduction

E 136 or IS 139: Exercise Development Course/Exercise Design Course/or COOP Exercise Design/Development T-t-T Course

Complete attendance in continuity exercise E/L 554 Pandemic Influenza (PI) Determined Accord Workshop or IS 520: Introduction to Continuity of Operations Planning for Pandemic Influenzas and IS 522: Exercising Continuity Plans for Pandemic Course (both Independent Study courses are required) or E/L 553 Resilient Accord Cyber Security Workshop or E/L 556 Guardian Accord Terrorism Awareness Workshop

NARA/CoSA Vital Records Training (optional, recommended)

Below is the list of required elements needed to achieve the **Master Continuity Practitioner Certification**.

Level II: Master Continuity Practitioner

IS 130: Exercise Evaluation and Improvement Planning or E132 (limited to EMI Resident MEPP candidates) or G130: Exercise Evaluation

IS 240 or equivalent E/L/G course: Leadership and Influence

E/L/G 551 or IS 551: Devolution Training

E/L 156 or IS 156: Building Design for Homeland Security for Continuity of Operations (T-t-T) or E/L 155: Building Design for Homeland Security

E/L 262: Instructional Delivery for Subject Matter Experts or G265: Instructional Delivery Skills (formerly G261: Instructional Presentation Skills) or E 605: Instructional Delivery or E/L 141: Instructional Presentation and Evaluation Skills Course

Instruct E/L/G or IS 548: Continuity Manager's Course (T-t-T)

E/L 262: Instructional Delivery for Subject Matter Experts or G 265: Instructional Delivery Skills (formerly G 261: Instructional Presentation Skills) or E 605: Instructional Delivery;

- Instruct E/L/G or IS 548 COOP Manager's Train-the-Trainer Course;
- Facilitate E/L 550 or IS 550 COOP Planner's Train-the-Trainer Workshop or E/L/G or IS 551 Devolution Planning Workshop or Determined Accord Pandemic Preparedness Workshop for Continuity Managers;
- Written Comprehensive Exam (150 questions) - Applicants are eligible to take exam once all other Level II requirements have been met. A score of 70% is required for passing.

To request a date to take the exam send an email to FEMA-CONTINUITY-PRACTITIONER@fema.dhs.gov

APPENDIX D: LIST OF ACRONYMS

BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assistance Tool
CGC 1	Continuity Guidance Circular 1
CMF	Continuity Management Function
CIO	Chief Information Officer
DERG	Devolution Emergency Relocation Group
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
HR	Human Resources
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MYSPMP	Multi-Year Strategic Program Management Plan
N/A	Not Applicable
NCPIP	National Continuity Policy Implementation Plan
NCSD	National Communications System Directive
NEF	National Essential Function
NRF	National Response Framework
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Function
POC	Point-of-Contact
TSP	Telecommunications Service Priority
TT&E	Test, Training, and Exercise
WPS	Wireless Priority Service

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