



# Continuity of Operations Planning Guidance

*Essential Information Outline*

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*The vision for continuity is a more resilient  
City through integration of continuity plans  
and programs to sustain essential functions  
under all conditions.*

**Continuity of Operations Planning**  
Essential Information Outline

**General Information**

- Organization Name
- Mission Statement
- Primary Operations Facility and Secondary Locations
- What are the most important functions or services that your organization performs?

**Essential Employees and Relocation**

- Does your organization have any essential employees?
  - *Essential Employees would be designated to work when an office closing is authorized – would the employee be required to work in the event of a hurricane?*
  - *If there is no one in your organization that would be considered an Essential Employee, then consider what the organization would do if there was a short-term disruption in operations.*
- Would anyone in the organization relocate to a designated facility? Would some relocate? Would all employees be instructed to go home?
- If there are employees that would relocate, please consider where they would relocate to – do you have a designated facility?

*Consider a chart showing which positions handle which essential functions:*

Function	Title/ Position	Name	Telephone Numbers	Additional Information
[Insert Mission Essential Function Here]	[Position or Title]		[Phone Number]	[Insert other organization-required information, i.e. duty station and addresses ]
	[Position or Title]		[Phone Number]	

- Who in your organization would be responsible for coordinating the relocation and making sure all relocating employees were accounted for?
- What would the relocating employees need to take with them to be able to fulfill essential functions?
- What capabilities would the organization need to be able to continue operations at the continuity facility?
- What would be expected of employees who do not relocate (*this may be all of your employees*)? Who should they contact? How often should they check-in? Are they required to work from home?
- Who from the organization would be responsible for communicating with employees who did not relocate? What method of communication would be used?

## Continuity of Operations Planning

### Essential Information Outline

#### Essential Employees and Relocation (cont.)

- Which organizations and offices would need to be notified regarding office closure, relocation, activation, etc., and who would be responsible for relaying that information?
- If the primary location becomes uninhabitable (think long-term), who will be responsible for procuring office space for continued operations?
- Who is responsible for compiling an After Action Report and where will the documentation be maintained?
- Does the organization utilize hazard/threat warning systems? If so, which one(s)?

#### Essential Records

- Essential Records refer to those records that are critically important to the continued functioning or rebuilding of an organization during and after an emergency. Where are the organization's essential records located and what safeguards are in place to protect the records?
- Has the organization conducted an essential records and database risk assessment? When and what were the results?
- Who is responsible for the maintenance of essential records?

#### Budget

- Does the organization have a long-term strategic plan that incorporates a continuity budget? If so, where can a copy of the strategic plan be located?
- Who will be responsible for oversight of contracts during an emergency (Name/title/contact info)?

#### Plan Maintenance

- How often is a review of the plan performed (at least annually)?
- Who performs the review of the plan, and where are the documents confirming the review maintained?
- Does the organization have a Multi-Year Strategy and Program Management Plan? If so, please provide the location where it can be found.
- Which organizations, agencies or employee groups will receive the Continuity of Operations Plan after each revision or as needed?

#### Orders of Succession

- List all leadership positions requiring orders of succession, including the organization head and other key positions:
- Where is a copy of the organization's orders of succession located?
- Who is responsible for ensuring succession orders are up-to-date and distributed?
- Who will the orders be distributed to and what distribution method will be used?

## Continuity of Operations Planning Essential Information Outline

### Orders of Succession (cont.)

- Provide the organizations orders of succession:
  - *At least 3 positions deep, where possible, to ensure organization's ability to manage and direct its essential functions and operations*
  - *Geographically dispersed if feasible*
  - *Described by position/title rather than names of individuals holding office*
- Does the organization have a Delegation of Authority document? If so, where is it located?
- Have the individuals who are expected to assume authorities been trained? Please outline the training methods utilized and where those records are located.

### Concept of Operations

- Consider promoting a Family Support Plan for personnel to increase personal and family preparedness.
- What are the hazard/threat warning systems utilized by your organization (Examples: Emergency Broadcast Radio, Disaster Warning Phone, etc.)?
- Who is designated to notify Continuity Personnel and other staff if the continuity plan is activated and what is the primary method/system of notification (position/title/designee)?
- How will Continuity Personnel travel to the continuity facility?
  - Does this change depending on whether the incident occurs during work hours or during non-working hours?
  - Means of transportation
  - Rally points
  - Means of notification
  - Any considerations for disabled employees?
- What should non-continuity personnel do during activation (go home, wait for instruction from authority, etc.)?
- What are the initial duties for the Advance Team of Continuity Personnel (first employees to arrive at relocation facility)?
- Who will be responsible for check-in and processing of Continuity Personnel?
- Provide check-in process and procedure (include how to obtain roster of Continuity Personnel, how individuals will be reached if they did not check-in, etc.):
- Who will be responsible for filling staffing needs and augmenting staff as needed?
- Who will be responsible for maintaining contact with non-continuity personnel and how will they do so (this may include multiple individuals)?
- What are the expectations of non-continuity personnel for remaining in contact with Continuity Personnel during closure or during relocation?

## **Continuity of Operations Planning**

### Essential Information Outline

#### **Reconstitution**

- Develop a phase-down plan for reconstitution with priorities ranked from most to least important.
  1. Example: Demobilize all resources brought from original facility
  2. Transfer non-continuity staff back to original facility, etc.
- When reconstitution begins to occur, who will be notified and how?
  - Example: telephone call to non-essential staff who were sent home, local agency partners, etc.
- What is the procedure for the agency to report its status?
- List the offices and organizations that the Continuity Coordinator or other authorized individual should notify with regard to activation status and other information.
- What information will be included in the agency status report?
- If primary location is uninhabitable, who will be responsible for developing space requirements and procuring office space for continued operations?
- Who will be responsible for developing procedures for restructuring staff if needed?
- Who will be responsible for compiling an After Action Report and where will documentation be maintained?

#### **Plan Maintenance**

- How often is a review of the plan performed (at least annually)?
- Who performs the review of the plan, and where are the documents confirming the review maintained?
- Does the organization have a *Multi-Year Strategy and Program Management Plan*? If so, please provide the location where it can be found.
- Which organizations, agencies, or employee groups will receive the Continuity of Operations Plan after each revision or as needed?