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Unit 1: Introduction and Course Overview
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Objectives

At the end of this unit, you should be able to:

- Correctly recognize the background and policy regarding continuity that affects development of continuity plans for reference in plan development.
- Determine the correct definition of continuity – and what it is not – according to the National Continuity Policy Implementation Plan.
- Discuss three reasons why organizations should create a continuity plan, based upon case studies, benefits, requirements, and best practices.
- Identify three tools available to assist in the evaluation/assessment of continuity plans and programs.

Scope

- Welcome and Introductions
- Administrative information
- Course overview
- Agenda/course materials
- Continuity Evaluation Tool/Assistance Tool
- Definition and discussion of continuity
- Activity: Identifying Planning Needs

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welcome and Instructor Introductions</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Student Introductions/Administrative Information</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Course Overview/Agenda/Materials</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Introduction to Continuity</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Activity: Identifying Planning Needs</td>
<td>25 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>80 minutes</strong> (1 hour 20 minutes)</td>
</tr>
</tbody>
</table>
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Unit 1: Introduction and Course Overview

Student Introductions

Please present your:
- Name.
- Organization.
- Greatest need from this workshop.
- Experience with continuity.
Administrative Information

- Hours.
- Evacuation routes and fire exits.
- Restrooms.
- Smoking.
- Breaks and lunch.

Please put your cell phone or pager on vibrate!

Course Goal

The goal of the course is to provide the students with the knowledge, skills, and tools necessary to develop and implement continuity plans according to established continuity requirements and guidance.
Course Objectives (1 of 2)

- Correctly recognize the background and policy regarding continuity that affects development of continuity plans for reference in plan development.
- Develop a strategy to create a continuity plan using available requirements, guidance, and tools.
- Recognize and incorporate the all key elements of a viable continuity capability into an outline for their continuity plan.
- Explain the four phases of continuity and relate their application to the continuity planning process in your organization.

Course Objectives (2 of 2)

- Recognize factors that affect plan maintenance and distribution strategies based upon factors identified through best practices, requirements, and guidance.
- Demonstrate knowledge of key concepts and strategies for developing, implementing, and updating a continuity plan that adheres to requirements and guidance by passing the final exam with at least a 70%.
Course Agenda

<table>
<thead>
<tr>
<th>AM</th>
<th>PM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Day 1</td>
<td></td>
</tr>
<tr>
<td>1. Introductions and Course Overview</td>
<td>3. Elements of a Viable Continuity Capability</td>
</tr>
<tr>
<td>2. Initiating the Planning Process</td>
<td></td>
</tr>
<tr>
<td>Day 2</td>
<td></td>
</tr>
<tr>
<td>3. Elements of a Viable Continuity Capability (cont.)</td>
<td>3. Elements of a Viable Continuity Capability (cont.)</td>
</tr>
<tr>
<td>Day 3</td>
<td></td>
</tr>
<tr>
<td>3. Elements of a Viable Continuity Capability (cont.)</td>
<td>4. Operational Phases and Implementation</td>
</tr>
<tr>
<td>4. Operational Phases and Implementation</td>
<td>5. Plan Maintenance and Distribution</td>
</tr>
<tr>
<td></td>
<td>6. Course Summary and Final Exam</td>
</tr>
</tbody>
</table>

Course Materials

- Student Manual.
- Reference Guide:
  - Policy and guidance.
  - Templates.
- Continuity Evaluation Tool/Continuity Assessment Tool.
Unit 1  Introduction and Course Overview

FCD 1 and 2/CGC 1 and 2

- Federal Continuity Directives 1 and 2 provides direction for the development of continuity plans and programs for the Federal Executive Branch.
- Continuity Guidance Circulars 1 and 2 provides continuity guidance for non-Federal agencies.

Continuity Evaluation Tool/Assistance Tool

The Continuity Evaluation Tool (CET) and Continuity Assistance Tool (CAT):

- Ensure organizations meet continuity requirements and guidelines.
- Serve as an assessment tool to evaluate continuity programs and plans.
- Identify areas of strength and areas of improvement within a continuity program.
CET/CAT Use in this Course

- A sample continuity plan is provided for use during course activities.
- Using the CET (Federal) or the CAT (non-Federal), allows for:
  - Identifying best practices and areas for improvement in the sample plan.
  - Determining how the areas of strength and improvement relate to your organization’s plan.
  - Learn how to use the CET/CAT to build and assess your own continuity plan.

Importance of Evaluations (1 of 2)

Why is it important to evaluate your continuity plan and program?

- ______________________
- ______________________
- ______________________
- ______________________
- ______________________
- ______________________
- ______________________
Importance of Evaluations (1 of 2)

- Mandatory requirement (Federal).
- Best practice.
- Feeds into Corrective Action Program.
- Identifies areas of strength and for improvement.
- Assists in the prioritization and resourcing of continuity issues.
- Can give an external view of continuity plans.

Definition of Continuity (1 of 2)

What is continuity?
Definition of Continuity (1 of 2)

Continuity of operations is an effort within individual organizations to ensure that essential functions continue to be performed during a wide range of emergencies.

Importance of Continuity Planning (1 of 2)

Why is continuity planning important?
Importance of Continuity Planning (2 of 2)

Continuity planning:
- Ensures the continuity of essential functions across a wide range of emergencies and events.
- Enables organizations to continue the functions on which their customers depend.
- Is part of the fundamental mission of all organizations.

Today’s changing threat environment has increased the need for a continuity program and plan.

Case Study: Joplin, MO Tornado

- 17,000 people were directly affected and 161 people lost their lives
- 553 businesses destroyed
- 10 schools not functional (6 destroyed and 4 damaged)
- Two fire stations destroyed
- One of two hospitals destroyed
- Critical infrastructure destroyed or not functional
Case Study: Hurricane Katrina

- 83 General Services Administration-owned and -leased buildings damaged in Louisiana, Alabama, and Mississippi.
- 2,600 Federal employees from 28 agencies relocated.
- Damaged buildings included:
  - Social Security Administration.
  - Federal Bureau of Investigation and Drug Enforcement Administration.
  - Internal Revenue Service.
  - U.S. Court of Appeals (Fifth Circuit).
PURPOSE: The purpose of this activity is to provide you with an opportunity to begin networking about continuity planning. The activity will also provide you with insight as to the areas of strength and areas in which organizations are having difficulty in developing their continuity plans.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Discuss within your group:
   - What has worked well in your organization in terms of continuity planning.
   - Areas that need improvement.

3. Develop three examples of what works well and three examples of areas where you need improvement and/or assistance. If chart paper is available, write your lists on the paper and display for the class.

4. You have 10 minutes to complete this activity.

5. Select a spokesperson to present “three up, and three down.” Be prepared to participate in a class discussion of why the “three up” works well and the type of assistance you would like with your group’s “three down.”
Summary and Transition (1 of 2)

This unit...
- Presented the course goal, objectives, and materials.
- Defined continuity.
- Introduced tools available to assist in the writing and evaluation of continuity plans.

Unit 2...
- Will introduce initiating the continuity planning process.

Summary and Transition (2 of 2)

Questions?
Unit 2: Initiating the Planning Process
Objectives

At the end of this unit, you should be able to:

- Develop a strategy to create a continuity plan using available requirements, guidance, and assistance tools.
- Identify at least five stakeholders in their organization with a role in continuity plan development.
- Identify at least three reasons why leadership support is necessary to plan development and discuss strategies for obtaining this support.

Scope

- Preparing for planning
- Stakeholders
- Identifying stakeholders

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and Unit Overview</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Pre-Planning</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Identifying Key Stakeholders</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Obtaining Leadership Support</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Total Time</td>
<td>40 minutes</td>
</tr>
</tbody>
</table>
Unit 2: Initiating the Planning Process

Unit 2 Objectives

- Develop a strategy to create a continuity plan using available requirements, guidance, and assistance tools.
- Identify at least five stakeholders in your organization with a role in continuity plan development.
- Identify at least three reasons why leadership support is necessary to plan development and discuss strategies for obtaining this support.
Continuity Planning Process

- Initiate the Continuity Planning Process
- Determine Essential Functions
- Conduct a Risk Analysis
- Design and Draft the Plan
- Test, Train, and Exercise the Plan
- Distribute, Maintain, and Update the Plan

Where To Start?

Where did you start after being assigned responsibility for continuity planning?
Getting Started

Take time to think the planning process through.
- Become knowledgeable with the current continuity program.
- Develop an appointment letter from leadership.
- Find a champion.
- Establish a team to assist with planning.
- Develop success criteria and milestones.
- Develop a multi-year strategy and program management plan.
- Brief leadership and stakeholders.
Identifying Key Stakeholders (2 of 2)

One (or more) representatives from the following should be included on the planning team:

- Each organizational office.
- Information Technology.
- Human Resources.
- Facilities Management.
- Comptroller.
- Legal.

Be sure to include a union representative also!

---

Inclusion of Leadership

Including your organization’s leadership is key in the continuity planning process. Leadership:

- Controls budget and resources.
- Provides timelines and expected tasks.
- Provides foundation information.
- Clarifies issues.
- Approves the plan.
- Provides public support.
Obtaining Leadership Support (1 of 2)

How have you successfully engaged leadership during the continuity planning process?

Obtaining Leadership Support (2 of 2)

Strategies for engaging leadership and obtaining their support include:

- Identifying applicable laws/regulations.
- Discussing best practices.
- Developing TT&E event to illuminate shortcomings.
- Finding a champion.
- Providing information in small chunks.
- Relating continuity to mission and priorities of organization.
Summary and Transition (1 of 2)

This unit...
- Identified stakeholders with a role in continuity plan development.
- Discussed the need for leadership support.

Unit 3...
- Will focus on incorporating the elements of a viable continuity capability into your plan.

Summary and Transition (2 of 2)

Questions?
Unit 3: Elements of a Viable Continuity Capability
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Objectives

At the end of this unit, you should be able to:

- Identify all organization essential functions and their effect upon staffing levels in a continuity event.
- Recognize and incorporate all the key elements of a viable continuity capability into an outline for their continuity plan.
- Analyze the continuity requirements and guidance in FCD 1 and CGC 1 as it relates to their organization’s continuity planning process.

Scope

- Introduction and Unit Overview
- Program Plans and Procedures
- Essential Functions
- Activity: Essential Functions Assessment
- Risk Management
- Budgeting and Acquisition
- Activity: Budgeting and Risk Management Assessment
- Orders of Succession/Delegations of Authority
- Activity: Orders of Succession and Delegations of Authority Assessment
- Continuity Facilities
- Activity: Continuity Facilities Assessment
- Continuity Communications
- Activity: Communications Assessment
- Vital Records
- Activity: Vital Records Assessment
- Human Capital
- Activity: Human Capital Assessment
- TT&E
- Activity: TT&E Assessment
- Devolution of Operations
- Activity: Devolution Assessment
- Reconstitution
- Activity: Reconstitution Assessment
- Summary and Transition
Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and Unit Overview</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Program Plans and Procedures</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Essential Functions</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Activity: Essential Functions Assessment</td>
<td>35 minutes</td>
</tr>
<tr>
<td>Risk Management</td>
<td>50 minutes</td>
</tr>
<tr>
<td>Budgeting and Acquisition</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Activity: Budgeting and Risk Management Assessment</td>
<td>40 minutes</td>
</tr>
<tr>
<td>Orders of Succession/Delegations of Authority</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Succession/Delegations Assessment</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Continuity Facilities</td>
<td>35 minutes</td>
</tr>
<tr>
<td>Activity: Continuity Facilities Assessment</td>
<td>40 minutes</td>
</tr>
<tr>
<td>Continuity Communications</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Communications Assessment</td>
<td>25 minutes</td>
</tr>
<tr>
<td>Vital Records</td>
<td>35 minutes</td>
</tr>
<tr>
<td>Activity: Vital Records Assessment</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Human Capital</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Activity: Human Capital Assessment</td>
<td>35 minutes</td>
</tr>
<tr>
<td>TT&amp;E</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Activity: TT&amp;E Assessment</td>
<td>40 minutes</td>
</tr>
<tr>
<td>Devolution of Operations</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Devolution Assessment</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Reconstitution</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Reconstitution Assessment</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>660 minutes (11 hours)</strong></td>
</tr>
</tbody>
</table>
Unit 3: Elements of a Viable Continuity Capability

Unit 3 Objectives

- Identify all organization essential functions and their effect upon staffing levels in a continuity event.
- Recognize and incorporate the key elements of a viable continuity capability into an outline for their continuity plan.
- Analyze continuity requirements and guidance in FCD 1 and CGC 1 as it relates to their organization's continuity planning process.
Unit Overview

- Essential functions
- Information that supports essential functions:
  - Plans and procedures
  - Risk management
  - Budgeting
  - Orders of succession
  - Delegations of authority
  - Continuity facilities
  - Communications
  - Vital records
  - Human capital
  - TT&E
  - Devolution
  - Reconstitution

Program, Plans, and Procedures

- An organization implements an effective continuity program through its related plans and procedures.
- Continuity planning is an effort to document and ensure the capability to continue organization essential functions during a wide range of potential emergencies.
- Organizations must ensure their plans and procedures:
  - Address the elements of a viable continuity capability.
  - Are capable of implementation.
Essential Functions Review

Essential functions are:

- Those activities an organization determines cannot be deferred.
- Urgent and important.

Essential Functions Terminology

- National Essential Functions (NEFs) / State, Territorial, Tribal Essential Functions (STTEFs).
- Primary Mission Essential Functions (PMEFs).
- Mission Essential Functions (MEFs).
- Essential Supporting Activities.
National Essential Functions (NEFs): A subset of 8 government functions (identified in NSPD-51/HSPD-20) necessary to lead and sustain the Nation during a catastrophic emergency and must be supported through continuity capabilities. **NEFs are already identified; individual organizations do not need to identify NEFs.**

1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of three separate branches of government;
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
3. Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests;
4. Maintaining and fostering effective relationships with foreign nations;
5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests;
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting and stabilizing the Nation’s economy and ensuring public confidence in its financial systems; and
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

State, Territorial, Tribal Essential Functions (STTEFs): The overarching responsibilities of non-Federal entities (States, territories, tribes, and local government jurisdictions) during and following a crisis which ensure the well-being of State, territorial, and tribal communities. The 7 STTEFs identified in CGC 2 are:

1. Maintain Continuity of Government
2. Provide Visible Leadership
3. (Unassigned)
4. Maintain Effective Relationships with Neighbors and Partners
5. Maintain Law and Order
6. Provide Emergency Services
7. Maintain Economic Stability
8. Provide Basic Essential Services

Primary Mission Essential Functions (PMEFs): A collection of similar Federal Government functions that must be performed to support or implement the performance of NEFs before, during, and in the aftermath of an emergency. **PMEFs are already identified; individual organizations do not need to identify PMEFs.**

- PMEFs are identified for Federal department/agency headquarters and may be further defined by headquarters to the regional level or below.
- There is no equivalent terminology for non-Federal entities.

Mission Essential Functions (MEFs): MEFs should include those organizational missions that must be performed continuously or resumed rapidly following a significant disruption to normal activities to ensure the general health, safety, and welfare of the people of the jurisdiction.

- Both Federal and non-Federal organizations may have MEFs.

Essential Supporting Activities: Essential supporting activities are functions that the organization must continue in a continuity activation, but that are not recognized as MEFs.

- **EXAMPLES:** human resources management, facilities management.
FCD 2/CGC 2

Both FCD 2 and CGC 2:

- Provide guidance for identifying essential functions.
- Provides a standardized Business Process Analysis (BPA) and Business Impact Analysis (BIA) process for organizations.

Essential Functions (1 of 2)

Why is it important to identify essential functions?
Essential Functions (2 of 2)

- Goal of continuity is to continue essential functions.
- Enables an organization to choose the right people, resources, and planning for continuity.
- Assists in the prioritization of resources and focus following an emergency or threat.

Identification of Essential Functions

How do you identify essential functions?
Business Process Analysis

Provides a system to identify essential functions:
- Specifies the input of each task.
- Identifies interdependencies.
- Determines which functions are essential:
  - On their own.
  - To support NEFs/PMEFs (Federal).
  - To support STTEFs (Non-Federal).

Essential Functions Guidelines

- Identify, validate, and approve essential functions.
- Recognize functions directed by law or directive.
- Conduct a BPA and business-process flow map.
- Identify interdependencies.
  - Internal and external.
  - To an Emergency Support Function.
  - When and where interdependencies are executed.
For each essential function . . .

- Who is required to perform the function?
- What records/information do they need?
- What systems do they need?
- With whom will they communicate?
Activity: Essential Functions Assessment

Instructions:
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan’s essential functions and related plans to determine areas of strength and areas for improvement.

You have 15 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for essential functions.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Read Annex A within the sample plan.

2. After reading Annex A, turn to the applicable portion of the CET/CAT:
   a. If you work for a Federal organization, complete questions D.1 through D.13 of the CET (pages 18 – 20).
   b. If you work for a non-Federal organization, complete questions 1.1.1.1 through 1.1.4.3 of the CAT (pages 1 – 5).

3. Your instructor will lead the class through a guided discussion of the CET/CAT tasks. The instructor will want to know if the sample plan meets the CET/CAT guidelines for Essential Functions. If the class determines the sample plan is inadequate, the class will discuss options for improving the plan.
Risk Management (1 of 2)

What is a risk assessment?

Risk Management (2 of 2)

- A risk assessment is the process used to identify the hazards that pose a threat to the organization and quantify the degree of threat.
- The purpose of risk assessment is to determine the organization's vulnerability.
- Risk assessments consider all types of:
  - Natural hazards.
  - Technological hazards.
  - Human-caused hazards.
Step 1: Define the Context

- Define the context of the decision that the risk management effort seeks to support.
  - Consider an array of variables: scope, mission, risk management capabilities and resources, stakeholders, and constraining factors.

- By considering each variable systematically, organizations are able to:
  - Design an approach for identifying, assessing, and analyzing risks essential functions.
  - Propose risk management strategies that are commensurate with the organization’s operating context.
Step 2: Identify Potential Risk (1 of 2)

What are sources that can assist you in identifying risks to the continuance of your essential functions?

Step 2: Identify Potential Risk (2 of 2)

- Natural hazards:
  - The National Weather Service.
  - The local Emergency Management Agency.
  - Historical data.
- Technological hazards:
  - Local business and industry.
  - Commodity flow studies.
- Human-caused hazards:
  - Law enforcement agencies.
  - Specific threats and history of incidents.
Step 3: Analyze and Assess Risk

In this step, organizations execute a risk management methodology to weigh and compare risks.

Weigh and compare risks by assigning numeric values related to:

- How often each hazard could occur.
- The potential impact that each hazard could have.
- The vulnerability of your essential functions to each hazard.

Why Weigh and Compare? (1 of 2)

Why weigh and compare risks?
Why Weigh and Compare? (2 of 2)

...to provide focus to risk analysis by allowing planners to identify highest risk hazards.

Sample Risk Management Methodology

<table>
<thead>
<tr>
<th>Threat/Hazard</th>
<th>Characteristics</th>
<th>Likelihood (0-10)</th>
<th>Vulnerability (0-10)</th>
<th>Impact (0-10)</th>
<th>Risk Value (0-30)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAT 4/5 Hurricane</td>
<td>Sustained winds &gt;130 mph; flooding; building damage; power lines down; facilities closed</td>
<td>5</td>
<td>6</td>
<td>8</td>
<td>19</td>
</tr>
<tr>
<td>Bombing at primary facility</td>
<td>Truck bomb seriously damages primary facility during work hours; kills/injures employees; records destroyed</td>
<td>2</td>
<td>2</td>
<td>9</td>
<td>13</td>
</tr>
<tr>
<td>Street protest</td>
<td>Protests last for hours/stays in central area; access to primary facility prevented/impeled.</td>
<td>3</td>
<td>1</td>
<td>4</td>
<td>8</td>
</tr>
</tbody>
</table>
Step 4: Develop Alternatives

Create viable options for managing risks by:

- Avoiding.
- Controlling.
- Accepting.
- Transferring.

Step 5: Decide and Implement Strategies

Decision makers need to consider:

- The feasibility of implementing options to support continuity.
- How various alternatives affect and reduce risk.

Once a decision has been made, the organization implements the decision.
Step 6: Evaluation and Monitoring

Organizations monitor:

- Whether the implemented risk management strategies achieve the desired goals and objectives.
- Whether the risks facing an organization are changing.

Business Impact Analysis

- A method of identifying the effects of failing to perform a function.
- Identify threats or hazards and their possible impact upon the conduct of essential functions.
  - Threat  
  - Vulnerability  
  - Likelihood  
  - Impact if function is not conducted
  - Impact analysis  
  - Risk value  
  - Mitigation strategies
Risk Management Guidelines

- Identify and assess likely threats to mission and location.
- Identify scenarios that pose unacceptably high risk and complete analysis of acceptable risk.
- Conduct a vulnerability assessment, cost-benefit analysis.
- Identify and implement mitigation strategies.
- Work with other governments and private sector to identify interdependencies and enhance resiliency.
- Maintain a multi-year program management plan to apply risk management principles.

Budgeting for Continuity

How does your organization budget for continuity?
Budgeting & Acquisition

- Budgetary resources and guidance are needed to acquire and then implement continuity plans, requirements, and resources.
- Budget and acquisition needed before, during, and after a continuity event.
- Integrate budget with a risk management methodology and multi-year strategy and program management plan (MYSPMP).

MYSPMP

- A continuity MYSPMP provides for the development, maintenance, and review of continuity capabilities.
- A MYSPMP considers:
  - Short- and long-term objectives and milestones.
  - Performance of essential functions.
  - Potential obstacles to implementing the program and a strategy for addressing them.
  - Planning, training, and exercise activities.
  - Resources needed to support the program.
  - Security strategies and risk management principles.
Activity: Risk Management/Budgeting and Acquisition Assessment

Instructions:
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan's risk management strategy and budgeting and acquisition plans to determine areas of strength and areas for improvement.

You have 20 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for risk management and budgeting and acquisition.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex B and Annex C of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex B serves as the Risk Management Annex of the plan and Annex C serves as the Budgeting and Acquisition Annex of the plan.
   a. If you work for a Federal organization, complete questions B.1 through B.9 and C.1 through C.8 of the CET (Pages 12 – 16).
   b. If you work for a non-Federal organization, complete questions 1.4.1.6 through 1.4.1.8 (Page 14); 2.2.1.1 through 2.2.1.5 (Page 53 – 54); and 2.3.1.1 through 2.3.2.1 (Page 55 – 57) of the CAT.

3. You have 20 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Orders of Succession and Delegations

What is the difference between orders of succession and delegations of authority?

Orders of Succession Review

Orders of succession provide for the orderly, predetermined assumption of senior agency positions during an emergency in the event that any officials are unavailable or unable to execute their legal duties.
Orders of Succession Guidelines (1 of 2)

All orders of succession should include:

- Conditions under which succession takes place.
- Method of notification.
- Conditions under which authority returns to the agency leader.
- Temporal, geographical, or organizational limitations to authority.
- Rules and procedures officials must follow when facing succession to office.

Orders of Succession Guidelines (2 of 2)

All orders of succession should be:

- Three positions deep and geographically dispersed, if possible.
- Described by titles, not names.
- Reviewed by the agency’s General Counsel.
- Maintained with the agency’s vital records.
Delegations of Authority Review

Delegations of authority:

- Specify the activities that may be performed by those authorized to act on behalf of the agency head or other key officials.
- Document the legal authority for officials to make key policy decisions during a continuity situation.

Delegations of Authority Guidelines

Delegations of authority state specifically:

- The authority being delegated.
- The limits of that authority.
- To whom the authority is delegated.
- The circumstances under which delegated authorities become effective and when they terminate.
- The authority to re-delegate those authorities.
Activity: Delegations/Succession Assessment

Instructions:
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan’s delegations of authority and orders of succession to determine areas of strength and areas for improvement.

You have 20 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for orders of succession and delegations of authority.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex D and Annex E and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex D serves as the Orders of Succession Annex of the plan and Annex E Serves as the Delegations of Authority Annex of the plan.
   a. If you work for a Federal organization, complete questions E.1 through E.10 and F.1 through F.9 of the CET (Pages 21 – 25).
   b. If you work for a non-Federal organization, complete questions 1.2.1.1 through 1.2.3.2 and 1.3.1.1 through 1.3.2.2 of the CAT (Pages 6 – 12).

3. You have 20 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Continuity Facilities Review

A location, other than the primary facility, that can be used to carry out essential functions in a continuity situation.

Organizations should also identify one or more devolution sites in case the continuity facility is inoperable.

Continuity Facility Factors (1 of 2)

What are some factors that influence the choice of a continuity facility?
Continuity Facility Factors (2 of 2)

- Distance from the primary facility to avoid impact from the incident.
- Replication of essential system and configurations.
- Availability of interoperable communications.
- Space, equipment, and other resources.
- Considerations for health, safety, and security.
- Reliable logistical support, services, and infrastructure.
- Housing at or near the site.

Determining Space Requirements (1 of 2)

How do you determine physical space requirements?
Determining Space Requirements (2 of 2)

Rule of thumb: 75-square-foot minimum per person

Includes:
- Work space.
- Storage space.
- Conference/Meeting rooms.
- Utility rooms.
- Lunch/Break room.

---

Telework in Continuity

Do you use telework as a continuity strategy?

---
Telework

Telework allows employees to conduct some or all of their work at an alternate worksite away from the employer’s usual office.

Telework is a way to:
- Increase workforce flexibility.
- Involve more personnel in operations.

Continuity Facilities Planning

Facility planning considerations also include:
- All-hazards risk assessment on facilities.
- Site preparation and activation plans.
- Transportation support plan.
Activity: Continuity Facilities Assessment

Instructions:
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan’s continuity facilities and associated plans to determine areas of strength and areas for improvement.

You have 20 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for continuity facilities.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex F of the sample continuity plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex F serves as the Continuity Facilities Annex of the plan.

3. If you work for a Federal organization, complete questions G.1 through G.22 of the CET (Page 27 – 30). Skip the following question:
   a. G.5.

4. If you work for a non-Federal organization, complete questions 1.4.1.1 through 1.4.3.4 of the CAT (Page 13 – 18). Skip the following questions:
   a. 1.4.1.5 through 1.4.1.8.

5. You have 20 minutes to complete this activity.

6. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Continuity Communications Review

Continuity of communications is the capability to continue communications with internal and external customers until normal operations can be resumed.

Continuity Communications (1 of 2)

How do you determine your organization’s continuity communications needs?
Continuity Communications (2 of 2)

- Support the organization's essential functions.
- Provide the ability to communicate with:
  - ERG staff.
  - Management.
- Provide the ability to communicate with other organizations and emergency personnel.
- Include access to other data and systems necessary to perform essential functions.

Communications Guidelines

Continuity communications must be:

- Redundant and resilient.
- Available within 12 hours of activation.
- Sustainable for up to 30 days or until normal operations can be resumed.
- Available to support leadership in transit to continuity facilities.
- Able to provide assured and priority access to communications resources.
Activity: Communications Assessment

**Instructions:**
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan's continuity communications capabilities to determine areas of strength and areas for improvement.

You have 10 minutes to complete this activity.

**PURPOSE:** The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for continuity communications.

**INSTRUCTIONS:** Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex G in the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex G serves as the Communications Annex of the plan.

3. If you work for a Federal organization, complete questions H.1 through H.10a of the CET (Pages 32 – 34). Skip the following questions:
   a. H.3.
   b. H.4.

4. If you work for a non-Federal organization, complete questions 1.5.1.1 through 1.5.2.4 of the CAT (Pages 19 – 21).

5. You have 10 minutes to complete this activity.

6. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Vital Records Review

**Emergency Operating Records** are essential to the continued functioning of the organization.

**Rights and Interests Records** are vital to:
- Carrying out the organization’s essential legal and financial activities.
- Protecting the legal and financial rights of individuals.

---

Vital Records and Databases: Planning

- Plan for maintaining vital data on redundant servers at different locations.
- Implement procedures to ensure all vital data on secure systems are current.
- Incorporate vital records program into the overall continuity program and plans.
- Develop and maintain a complete vital records inventory.
Vital Records Plan Packet (1 of 2)

What is a vital records plan packet?

Vital Records Plan Packet (2 of 2)

- A compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation.
- The vital records plan packet should include:
  - List of ERG personnel and their contact information.
  - A vital records inventory.
  - Necessary keys or access codes.
  - List of continuity facilities.
  - Access requirements and sources of equipment.
  - Records recovery experts or vendors.
  - Copy of continuity plans and procedures.
Other Vital Records Guidelines

- Include the written designation of a vital records manager.
- Perform a risk assessment on the locations and media of vital records.
- Ensure appropriate protections for vital records.
- Testing, training, and review of vital records and program.
Activity: Vital Records Management Assessment

**Activity: Vital Records Assessment**

**Instructions:**

1. Work in groups, as assigned by the instructor.
2. Assess the sample plan’s continuity vital records capabilities to determine areas of strength and areas for improvement.

You have 15 minutes to complete this activity.

**PURPOSE:** The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for vital records management.

**INSTRUCTIONS:** Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex H of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex H serves as the Vital Records Management Annex of the plan.
   
   a. If you work for a Federal organization, complete questions I.1 through I.21 of the CET (Pages 35 – 38).
   
   b. If you work for a non-Federal organization, complete questions 1.6.1.1 through 1.6.4.3 of the CAT (Pages 22 – 27).

3. You have 15 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Human Capital Review

...the sum of talent, energy, knowledge, and enthusiasm that people invest in their work.

In continuity situations, organizations have to perform essential functions with reduced staffing.

Human Capital Considerations

Concerns for human capital in continuity situations include:

- Designating continuity personnel.
- Communicating with all employees.
- Providing guidance to all employees.
Identifying Staffing Needs (1 of 2)

What information do you need to determine staffing?

Identifying Staffing Needs (2 of 2)

- What is the minimum number of persons required to perform each essential function?
- What is the continuity strategy (e.g., relocation, devolution, telework, etc.)?
- How many shifts will be scheduled?
- What support staff is needed?
Selecting Continuity Personnel

- Link to essential functions!
- Determine who can:
  - Do the work...
  - Under potentially adverse conditions.
- Consider combining positions, if necessary.
- Inform personnel of designation.
- Select back-up personnel.
- Provide cross-training.

Other Human Capital Guidelines

- Identify a human capital liaison to work with the continuity program.
- Include or reference organization, facility, and/or geographic region guidance in plan.
- Provide guidance on individual and family preparedness measures employees should undertake.
- Institute methods for employees and managers to become familiar with human capital guidance.
Activity: Human Capital Assessment

Instructions:
1. Work in groups, as assigned by the instructor.
2. Assess the sample plan’s human capital section to determine areas of strength and areas for improvement.

You have 15 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for human capital.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex I of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex I serves as the Human Capital Annex of the plan.
   a. If you work for a Federal organization, complete questions J.1 through J.15 of the CET (Pages 40 – 42).
   b. If you work for a non-Federal organization, complete questions 1.7.1.1 through 1.7.3.4 of the CAT (Pages 28 – 31).

3. You have 15 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Tests, Training, and Exercises (TT&E)

A TT&E program:

- Verifies that essential functions can continue as planned.
- Provides the framework for promoting consistency and uniformity in job performance.
- Ensures that TT&E events support the common overall goal of mission readiness.

Benefits of TT&E (1 of 2)

What are benefits to conducting continuity TT&E events?
Benefits of TT&E (2 of 2)

- Identify areas of strength.
- Identify areas for improvement.
- Obtain leadership buy-in.
- Practice procedures.
- Inform and train staff.

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Types of Continuity TT&E (1 of 2)

What are examples of continuity TT&E activities conducted by your organization?
Types of Continuity TT&E (2 of 2)

- Tests.
- Training.
- Exercises.

**DOCUMENTATION!**

Tests

Testing of systems/procedures includes:

- Alert and notification.
- Infrastructure systems and services.
- Communications systems.
- Physical security capabilities.
- Internal and external interdependencies.
- Protecting and recovering vital records.
Training

Training on continuity operations includes:

- Awareness briefings for ALL employees.
- Roles and responsibilities of continuity personnel.
- Briefings on continuity plans, including relocation.
- Reconstitution and devolution procedures.
- Identification, protection, and availability of vital records.
- Delegations of authority.
- Orders of succession.

Exercises

Exercising includes:

- Ability for continuity personnel to demonstrate familiarity with continuity plans and procedures.
- Ability to demonstrate capability to continue essential functions.
- Movement of personnel to the continuity facility.
- Internal and external communications capabilities.
- Ability to demonstrate availability of vital records.
- Reconstitution and devolution procedures.
HSEEP

The Homeland Security Exercise and Evaluation Program (HSEEP):

- Provides common exercise policy and program guidance.
- Constitutes a national standard for homeland security exercises.
- Uses consistent terminology that can be used by all exercise planners.

What is a CAP? (1 of 2)

What is a Corrective Action Program (CAP)?
What is a CAP? (2 of 2)

A Corrective Action Program (CAP) includes…

the steps taken to ensure lessons learned from actual incidents or from training and exercises are analyzed and fed back into the planning process.

Gathering After-Action Feedback (1 of 2)

Who uses a CAP to get after-action feedback?

How do you incorporate feedback into your CAP?
Gathering After-Action Feedback (2 of 2)

- Review documentation from continuity operations.
- Convene a post-incident meeting.
- Develop a definite action plan.

Follow through!

Developing a CAP

- Develop a written plan.
- Include:
  - Deficiencies and areas for improvement.
  - Solutions and work assignments.
  - Timeframes for completion and milestones.
Activity: Continuity TT&E Assessment

Instructions:
1. Work in groups as assigned by the instructor.
2. Assess the sample organization’s continuity TT&E plans to determine areas of strength and areas for improvement.

You have 20 minutes to complete this activity.

PURPOSE: The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for TT&E program.

INSTRUCTIONS: Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex J of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex J serves as the TT&E Program Annex of the plan.
   a. If you work for a Federal organization, complete questions K.1 through K.35 of the CET (Pages 44 – 49).
   b. If you work for a non-Federal organization, complete questions 1.8.1.1 through 1.8.4.9 of the CAT (Pages 32 – 39).

3. You have 20 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
What is Devolution?

Devolution Review
Devolution:

- Is the capability of transferring authority and responsibility from an agency's primary operating staff and facilities to other employees and facilities.
- Addresses disasters that render an agency's leadership and staff unavailable or incapable of performing essential functions from either its primary or continuity facilities.
Continuity and Devolution

<table>
<thead>
<tr>
<th>Concept</th>
<th>Continuity</th>
<th>Devolution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relocate existing staff to the organization’s alternate facility</td>
<td>Transferring the continuity mission to the organization’s devolution team</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Planning</th>
<th>“Continuity Plan”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuity personnel will perform essential functions at the alternate facility</td>
<td>“Devolution Plan”</td>
</tr>
<tr>
<td>Devolution team personnel will perform essential functions</td>
<td></td>
</tr>
</tbody>
</table>

| Implementation (including TT&E) | Continuity personnel deploy to alternate facility to perform essential functions | Devolution team personnel perform essential functions |

Developing a Devolution Plan (1 of 2)

Developing a devolution plan involves:

- Prioritizing essential functions that must devolve.
- Creating a roster of personnel equipped to perform their assigned essential functions from the devolution site.
- Identifying activation protocols for the devolution plan.
Developing a Devolution Plan (2 of 2)

The devolution plan must also include:

- The elements of a viable continuity capability.
- A description of how and when control of agency operations will be transferred.
- A list of the resources required to transfer and continue essential functions and sustain operations.
- Reliable process and procedures for acquiring necessary resources.
- Capabilities for reconstituting authorities to their pre-event status.
Activity: Devolution Assessment

**Activity: Devolution Assessment**

**Instructions:**

1. Work in groups as assigned by the instructor.
2. Assess the sample organization’s devolution plans to determine areas of strength and areas for improvement.

You have 15 minutes to complete this activity.

**PURPOSE:** The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for devolution.

**INSTRUCTIONS:** Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex K of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex K serves as the Devolution Annex of the plan.
   
   a. If you work for a Federal organization, complete questions L.1 through L.10 of the CET (Pages 51 – 53).

   b. If you work for a non-Federal organization, complete questions 1.9.1.1 through 1.9.2.5 of the CAT (Pages 40 – 42).

3. You have 15 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Reconstitution Review

Reconstitution is the process by which agency personnel resume normal agency operations at the primary operating facility.

Organizations must outline a plan to return to normal operations after agency leaders determine that reconstitution operations can begin.

Reconstitution Planning (1 of 2)

When do you start planning for reconstitution?
Reconstitution Planning (2 of 2)

- Reconstitution planning begins now as an element of a comprehensive continuity planning process.
- Reconstitution activities begin with the activation of the continuity plan, in order to begin consideration of the return to normal operations as quickly as possible.

Reconstitution Procedures (1 of 2)

What reconstitution procedures are needed for your organization?
Reconstitution Procedures (2 of 2)

- Informing all personnel that the emergency no longer exists.
- Supervising an orderly return to the normal operating facility or move to a new permanent operating facility.
- Verifying all systems, communications, and other required capabilities are available and operational.
- Identifying vital records affected by the incident and ensuring an effective transition or recovery of records.
- Conducting an after-action review of the effectiveness of the continuity plan and documenting issues in the CAP.

Initiate Reconstitution (1 of 2)

What information is required in order to determine if your organization could cease continuity operations?
Initiate Reconstitution (2 of 2)

- Assess the status of affected facilities.
- Determine how much time is needed to repair the affected facility and/or to acquire a new facility.
- Identify affected vital records and ensure an effective transition or recovery of records.
- Verify all systems, communications, and other required capabilities are available and operational.
- Validate that the agency is fully capable of accomplishing all essential functions and operations at the new or restored facility.

Supervise Orderly Transition

- Notify employees and stakeholders of reconstitution.
- Implement a priority-based phased approach to reconstitution.
  - Functions that were discontinued because of the emergency reconstituted first.
  - Most critical functions transferred last.
- Provide instructions for resumption of normal operations.
- Supervise a return to the normal operating facility or move to a new temporary or permanent facility.
Activity: Reconstitution Assessment

**Activity: Reconstitution Assessment**

**Instructions:**
1. Work in groups as assigned by the instructor.
2. Assess the sample organization’s reconstitution plans to determine areas of strength and areas for improvement.

**You have 15 minutes to complete this activity.**

**PURPOSE:** The purpose of this activity is to provide an opportunity for you to assess requirements/guidelines for reconstitution.

**INSTRUCTIONS:** Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Read Annex L of the sample plan and complete the applicable portion of the CET/CAT, to determine whether the sample plan is sufficient or contains areas for improvement. Annex L serves as the Reconstitution Annex of the plan.

   a. If you work for a Federal organization, complete questions M.1 through M.16 of the CET (Pages 54 – 56).

   b. If you work for a non-Federal organization, complete questions 1.10.1.1 through 1.10.2.4 of the CAT (Pages 43 – 46).

3. You have 15 minutes to complete this activity.

4. Be prepared to participate in a class discussion of your areas of strength and areas for improvement identified in the sample plan.
Summary and Transition (1 of 2)

This unit...
- Discussed essential functions and their role in continuity planning.
- Covered the elements of a viable continuity capability and how they support essential functions.

Unit 4...
- Will focus on the operational and implementation portions of the continuity plan.

Summary and Transition (2 of 2)

Questions?
Unit 4: Operational Phases and Implementation
Objectives

At the end of this unit, you should be able to:

- Identify operational/implementation considerations through discussion and relate procedures into the development of their continuity plan.
- Explain the four phases of continuity, as found in FCD 1 and CGC 1, and relate their application to the continuity planning process in their organization.
- Identify at least three procedures requiring development under the activation and relocation phase of continuity.
- Identify at least three procedures requiring development under the continuity operations phase of continuity.
- Describe the role of continuity as it relates to incident management.

Scope

- Introduction and Unit Overview
- Phases of Continuity Operations
- Readiness and Preparedness
- Activation and Relocation
- Activity: Identifying Triggers
- Continuity Operations
- Reconstitution
- Activity: Assess Operational Phases and Implementation Procedures
- Relation of Continuity to Incident Management
- Summary and Transition

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and Unit Overview</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Phases of Continuity Operations</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Readiness and Preparedness</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Activation and Relocation</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Identifying Triggers</td>
<td>25 minutes</td>
</tr>
<tr>
<td>Activation and Relocation (continued)</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Continuity Operations</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Reconstitution</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Operational Phases and Implementation Group Discussion</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Relation to Incident Management</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
</tr>
</tbody>
</table>

Total Time 125 minutes (2 hours 5 minutes)
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Unit 4: Operational Phases and Implementation

Unit 4 Objectives

- Explain the four phases of continuity and relate their application to the continuity planning process in your organization.
- Identify at least three procedures requiring development under the activation and relocation phase of continuity.
- Identify at least three procedures requiring development under the continuity operations phase of continuity.
- Describe the role of continuity as it relates to incident management.
Operational Phases & Implementation

- Organizations must integrate implementation procedures and criteria into their continuity plans.
- FCD 1 and CGC 1 introduce Operational Phases and Implementation to capture these procedures.

Standard Operating Procedures (1 of 2)

Why is it important to establish procedures for each phase of continuity?
Standard Operating Procedures (2 of 2)

Having procedures in place:

- Ensures that all staff know what to do, where to go, and what to take with them.
- Facilitates the transition to continuity operations.
- Helps backup staff remember their job tasks, when necessary.

Phase 1: Readiness & Preparedness

- Readiness is the ability of an organization to respond to a continuity event.

  - This phase includes all organization continuity readiness and preparedness activities including:
    - Plan development, review, and revision.
    - TT&E.
    - Risk management.

  - Plan development, review, and revision.
Readiness Posture

- Can tie readiness and preparedness measures to real world events and threats.
- Increased TT&E.
- Staff alternate facilities.
- Federal agencies in the National Capital Region follow the Continuity of Government Conditions (COGCON).
- Provide guidance to all staff in developing Family Support Plans.

Phase 2: Activation and Relocation

- This phase includes procedures or processes for attaining operational capability at continuity sites as soon as possible and with minimal disruption to operations, but in all cases within 12 hours of activation.
Activation & Relocation Procedures (1 of 2)

What activation and relocation procedures are needed for your organization?

___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________

Activation & Relocation Procedures (2 of 2)

- Activation of plan.
- Alert and notification of relevant parties.
- Moving personnel and vital records to alternate facility.
- Identification, maintenance, and use of drive away kits.
- Procurement of supplies/equipment not already in place.

___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
Continuity Plan Activation (1 of 2)

How do you know when to activate your continuity plan?

Continuity Plan Activation (2 of 2)

- Some indicators that continuity plan activation is required are obvious.
- In other situations, the need for continuity plan activation may be less clear.
- Include a decision matrix in your plan for both warning and without warning events.
Job Aid 4.1

This job aid provides a basic example of a diagram-based decision matrix to assist leadership. Your organization should add relevant details, based upon threats, risks, and vulnerabilities, to the matrix to further aid leaders in making appropriate decisions on increasing its readiness posture and activating the continuity or devolution plan.
Identifying Triggers

How can identifying triggers help in activating your continuity plans?

The Reason for Triggers

Triggers...

- Help all organization personnel recognize when continuity plan activation is required.
- Enable a smoother transition to continuity operations.
Identifying Triggers (1 of 2)

How do you identify triggers?

Identifying Triggers (2 of 2)

Triggers will vary depending on the threat:

- Natural hazards may be linked to an National Weather Service watch or warning.
- Technological hazards may be linked to activation of the Emergency Alert System (EAS) activation.
- Human-caused hazards may be linked to FBI or DHS alerts.
Activity: Identifying Triggers

**Instructions:**
1. Work in groups, as assigned by the instructor.
2. Develop a decision matrix with triggers for continuity plan activation for a hazard your organization may face.

**PURPOSE:** The purpose of this activity is to enable you to consider possible triggers for continuity plan activation for different types of hazards.

**INSTRUCTIONS:** Follow the steps below to complete this activity:
1. Work in your table group to complete this activity.
2. Your instructor will give you a hazard that threatens your organization or geographical area.
3. Work together to develop a decision matrix for the identified hazard and include triggers for increasing your readiness posture and triggers for continuity plan activation.
4. Record your decision matrix in the space below.
5. You have 15 minutes to complete this activity.
6. When you have finished, select a spokesperson to present your group’s decision matrix to the class. Be sure that you can explain the rationale behind the triggers.
DECISION MATRIX WITH TRIGGERS:
Alert and Notification

Who should your organization notify?

- Continuity facilities and on-site support teams.
- Subordinate and headquarters organizations.
- Employees (ERG and non-ERG).
- Other stakeholders, as appropriate.

Alert and Notification

Does your continuity plan . . .

- Distinguish between alert and notification?
- Specify how personnel will be alerted and notified?
- Include direction about what they should do?
- Incorporate strategies for keeping ERG and non-ERG personnel informed throughout continuity operations?
Transition Considerations

- How will your personnel relocate to the alternate site?
- How will you move vital records not stored on-site at the continuity facility?
- How will you procure supplies and equipment not in place at the alternate facility?

Transition Procedures (1 of 2)

How will you operate while continuity personnel are relocating?
Transition Procedures (2 of 2)

- Devolve temporarily during transition.
- Maintain shift of personnel operating at primary site until continuity facility is operational.
- Split functions between two facilities.

Drive-Away Kits

- Contains items needed to minimally satisfy personal and professional needs during a continuity deployment.
- Continuity plan or program should provide:
  - Suggestions for items to include.
  - Guidance on maintenance of kits.
Phase 3: Continuity Operations

- Readiness & Preparedness
- Activation & Relocation
- Continuity Operations
- Reconstitution

This phase encompasses transition to and operating from the continuity facility.

Continuity Operations Procedures (1 of 2)

What continuity operations procedures are needed for your organization?
Continuity Operations Procedures (2 of 2)

- Reception and in-processing of continuity personnel.
- Transition of responsibilities to the deployed personnel.
- Accountability of personnel and identification of replacement personnel and augmentees, as necessary.
- Guidance for non-deployed personnel.
- Execution of all essential functions at the alternate facility.

Reception & In-Processing

- Where?
- What to bring?
- How soon?
- What to get?
  - Facility access.
  - System access.
  - Equipment.
  - Documentation.
Transition of Operations

- At what point is the continuity site operational and able to support essential functions?
- How is authority for essential functions transitioned to the deployed continuity personnel?

Accountability of Personnel (1 of 2)

How do you account for all employees in your organization?
Accountability of Personnel (2 of 2)

- Emergency notification systems.
- Telephone cascades.
- 1-800 number hotlines.
- Websites, collaboration sites.
- Conference calls.
- Identify an out-of-area contact.

Accountability of staff will be one of the most important functions during a continuity event!

Establish Communications

Develop plans to:

- Remain in contact with non-deployed personnel, including how often contact will occur.
- Communicate with continuity personnel.
- Support all staff, especially disaster survivors, with special human capital concerns following a catastrophic disaster.
- Communicate with supporting and supported agencies, customers, and stakeholders.
Conduct Essential Functions

- Conduct essential functions and supporting tasks at the continuity facility.
- Activate acquisition processes for resources necessary to continue essential functions and to sustain operations.
- Initiate reconstitution planning.
- Meet reporting requirements.

Phase 4: Reconstitution

- In this phase, organizations return to normal operations once leadership determines that normal business operations can be initiated.
- Organizations will:
  - Provide an executable plan for transitioning to normal operations.
  - Coordinate and pre-plan options for reconstitution regardless of the level of disruption.
Operational Phases and Implementation

- The corresponding sections of the CET/CAT are often used for exercise design and evaluation.
- While the other CET/CAT sections identify whether an organization has plans/procedures in place, Operational Phases and Implementation identifies whether an organization can IMPLEMENT those plans and procedures.

Continuity and Incident Management

- Continuity does not delineate new procedures for incident management activities.
- Organizations with incident management responsibilities must incorporate requirements to perform these functions into continuity planning.
- Interagency groups must develop and share continuity plans to ensure the group’s continued capability regardless of circumstance.
Summary and Transition (1 of 2)

This unit...
- Explained the four phases of continuity.
- Identified operational and implementation procedures requiring development.
- Described the role of continuity as it relates to other emergency plans.

Unit 5...
- Discuss factors affecting continuity plan maintenance and distribution.

Questions?

___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________

Summary and Transition (2 of 2)

___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________
___________________________________

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Unit 5: Plan Maintenance and Distribution
Objectives

At the end of this unit, you should be able to:

- Recognize factors that affect plan maintenance and distribution strategies based upon factors identified through best practices, requirements, and guidance.
- Identify at least three guidelines that affect continuity plan maintenance and revision.

Scope

- Plan maintenance
- Plan distribution
- Activity: developing a leadership briefing outline

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan Maintenance</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Plan Distribution</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Activity: Developing a Leadership Briefing Outline</td>
<td>45 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>70 minutes</strong></td>
</tr>
</tbody>
</table>

(1 hour 10 minutes)
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Unit 5: Plan Maintenance and Distribution

Unit Objectives

- Recognize factors that affect plan maintenance and distribution strategies based upon factors identified through best practices, requirements, and guidance.
- Identify at least three factors that affect continuity plan maintenance and revision.
- Develop an outline for a pre-planning briefing to leadership to garner support for the planning effort and continuity program.
Plan Maintenance (1 of 2)

What factors affect the maintenance and revision of continuity plans?

Plan Maintenance (2 of 2)

- Change in leadership.
- Re-organization.
- Results of TT&E or real-world activations.
- Results of assessments.
- Annual continuity requirements/guidance.
Annual Maintenance Guidelines

On an annual basis, organizations should/must:

- Review signed MOA/MOUs for continuity facilities.
- Re-evaluate its continuity facilities.
- Review, rotate, or cycle vital records.
- Review its vital records plan packet.
- Review its vital records program.
- Conduct an assessment of its continuity TT&E programs and continuity plans and programs.

Plan Distribution (1 of 2)

What factors affect the distribution of continuity plans?
Plan Distribution (2 of 2)

- Security.
- Currency.
- Interdependencies.
- Applicability.

Revisiting the Leadership Briefing

Unit 2 introduced the concept of briefing leadership prior to beginning the planning process on:

- Current status of program and plans.
- Objectives.
- Engagement of a continuity planning team.
- Success criteria and milestones.
- Resource requirements.
- How continuity relates to the organization mission.
Activity: Outlining the Leadership Briefing

**Activity: Outlining the Leadership Briefing**

**Instructions:**
1. Work in groups, as assigned by the instructor.
2. Develop an outline for your pre-planning briefing for leadership. Ensure you include key information you want to convey to leadership to garner support.

---

**PURPOSE:** The purpose of this activity is to enable you to develop an outline for a pre-planning briefing for leadership.

**INSTRUCTIONS:** Follow the steps below to complete this activity:
1. Work in the group assigned by the instructor to complete this activity.

2. Consider the information you learned in this course to develop an outline for a pre-planning briefing to leadership. This briefing should aim to inform leadership and garner support and resources for the continuity planning effort. Record your outline in the space below.

3. You have 20 minutes to complete this activity.

4. When you are finished, select a spokesperson to present your group’s outline to the class. Participate in a class discussion about the outlines.

---

**BRIEFING OUTLINE:**
Summary and Transition (1 of 2)

This unit...

- Discussed factors affecting continuity plan maintenance and distribution.
- Expanded on the pre-planning leadership briefing.

Unit 6...

- Will summarize the course and answer any questions you have.

Questions?
Unit 6: Course Summary and Final Exam
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Objectives

At the end of this unit, you should be able to:

- Demonstrate knowledge of key concepts and strategies for developing, implementing, and updating a continuity plan that adheres to requirements and guidance by passing the final exam with at least a 70%.
- Develop at least three “next steps” for writing or improving their continuity plan based on information obtained in the course.

Scope

- Activity: Next Steps
- Course Review
- Final Exam
- Workshop Adjournment

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity: Next Steps</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Course Review</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Final Exam</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Workshop Summary and Adjournment</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>55 minutes</strong></td>
</tr>
</tbody>
</table>
This page is intentionally left blank.
Unit 6: Course Summary and Final Exam

Unit Objectives

- Demonstrate knowledge of key concepts and strategies for developing, implementing, and updating a continuity plan that adheres to requirements and guidance by passing the final exam with at least a 70%.
- Develop at least three “next steps” for writing or improving a continuity plan based on information obtained in the course.
Activity: Future Continuity Planning Efforts

**Instructions:**

1. Work in groups to complete this activity.
2. Develop a list of your organization’s top three immediate continuity planning requirements.
3. Be prepared to present and discuss your group’s requirements to the class.

You have 10 minutes to complete this activity.

**PURPOSE:** The purpose of this activity is to provide an opportunity for you to focus your future continuity planning efforts.

**INSTRUCTIONS:** Follow the steps below to complete this activity:

1. Work in your groups, as assigned by the instructor.

2. Discuss within your group your top three areas of focus for future continuity planning efforts.

3. You have 10 minutes to complete this activity.

4. Select a spokesperson to present your list.
Final Exam

Instructions:

1. Complete the identifying information on the answer sheet.

2. Answer each of the exam questions. You must score 70% to pass the exam.

You have 15 minutes to complete this activity.

Course Summary and Adjournment

This unit provided an opportunity to:

- Review the key points from the course.
- Focus on your next planning requirements.

Thank you for participating in this course!
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Appendix A: Facilitating the Continuity Planners Workshop
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Objectives

At the end of this appendix, you should be able to present the Continuity Planners Workshop.

Scope

- Introduction and Overview
- Workshop Materials
- Instructor Requirements
- Adult Learning Characteristics
- Maximizing Methodologies
- Preparing To Train
- Delivery Techniques Review
- Managing the Classroom
- Training Versus Workshop
- Summary

Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and Overview</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Workshop Materials</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Instructor Requirements</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Adult Learning Characteristics</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Maximizing Methodologies</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Preparing To Train</td>
<td>25 minutes</td>
</tr>
<tr>
<td>Delivery Techniques Review</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Managing the Classroom</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Training Versus Workshop</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
</tbody>
</table>

Total Time 2 hours 30 minutes
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Appendix A: Facilitating the Continuity Planners Workshop

Objective

At the end of this appendix, you should be able to present the Continuity Planners Workshop.
Appendix A  Facilitating the Continuity Planners Workshop

Workshop Materials

- Instructor Guide
- Student Manual
- PowerPoint Visuals
- Resource Guide

Instructor Guide

- Is your primary resource for the training
- Includes:
  - Workshop content
  - Copies of all visuals
  - Directions for all activities
  - Copies of all job aids and worksheets used in the workshop

Feel free to add your own notes to personalize the training.
Appendix A  Facilitating the Continuity Planners Workshop

Student Manual

- Is the students' primary resource for this course.
- Includes:
  - Workshop content
  - Copies of visuals
  - Instructions for completing activities
  - Copies of all job aids and worksheets used in the workshop

Copy enough SMs for the class before the training.

PowerPoint Visuals

- All PowerPoint visuals required for the workshop are included on a CD.
- The visuals do not include transitions. All text and graphics appear at the same time.
- Do not run the visuals from the CD during class. The visuals will run much faster and smoother if loaded onto a PC.
Appendix A  Facilitating the Continuity Planners Workshop

Instructor Requirements

- At least 2 instructors should facilitate this workshop.

All instructors should be knowledgeable of their assigned topics and adult learning techniques.

---

Adult Learning Characteristics

Adult learners:

- Have an independent self-concept; are self-directed.
- Are motivated to learn useful information; want to know the “why” and real-world applications.
- Benefit from positive reinforcement, not threats or punishment.
- Learn by linking new learning to past experiences.
- Learn more when learning is active.
Adult Learning Preferences

- Consider all learning preferences.
- Variety in methodology:
  - Ensures appeal to everyone’s learning preferences.
  - Prevents monotony and boredom.

Maximizing Methodologies

This workshop uses:
- Discussion.
- Presentations.
- Small-group activities.

How do you maximize the effectiveness of each of these methodologies?
Maximizing Discussions

Use to:
- Generate ideas.
- Find out what the students think.
- Increase the level of participation.
- Encourage group interaction.

Maximize impact by:
- Stating the purpose of discussion and its connection to the topic.
- Posing clear questions or discussion statements.
- Using visual aids, as appropriate.

Maximizing Presentations

Use to:
- Convey information quickly in a short period of time.
- Provide new, basic information to a group.
- Communicate the same information consistently to large numbers of people.

Maximize impact by:
- Limiting them to short segments.
- Using presentation skills effectively.
- Involving all students.
- Using audio-visual aids effectively.
Maximizing Group Activities

<table>
<thead>
<tr>
<th>Use to:</th>
<th>Maximize impact by:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Test the students’ understanding of concepts or processes.</td>
<td>• Stating the purpose of each activity.</td>
</tr>
<tr>
<td>• Promote group collaboration.</td>
<td>• Providing clear instructions.</td>
</tr>
<tr>
<td>• Increase the students’ confidence in their ability to apply learning on the job.</td>
<td>• Checking for understanding.</td>
</tr>
<tr>
<td></td>
<td>• Debriefing to reinforce key learning points.</td>
</tr>
</tbody>
</table>

Maximizing the Value of Visual Aids

<table>
<thead>
<tr>
<th>Use to:</th>
<th>Maximize impact by:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Support presentations.</td>
<td>• Limiting their use.</td>
</tr>
<tr>
<td>• Capture attention.</td>
<td>• Keeping them simple.</td>
</tr>
<tr>
<td>• Reinforce learning points.</td>
<td>• Making them easy to read and understand.</td>
</tr>
<tr>
<td>• Organize information.</td>
<td></td>
</tr>
<tr>
<td>• Promote understanding.</td>
<td></td>
</tr>
</tbody>
</table>

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## Maximizing the Value of Audio/Visual

<table>
<thead>
<tr>
<th>Use DVDs and videos to:</th>
<th>Maximize impact by:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Illustrate a point in a dramatic fashion.</td>
<td>• Limiting their use.</td>
</tr>
<tr>
<td>• Serve as a catalyst for discussion.</td>
<td>• Using the equipment correctly and the media appropriately.</td>
</tr>
<tr>
<td>• Demonstrate real-world applications.</td>
<td>• Creating the right environment (lighting; sound levels).</td>
</tr>
<tr>
<td>Use audio clips to:</td>
<td>• Making the student connection.</td>
</tr>
<tr>
<td>• Present expert testimony.</td>
<td></td>
</tr>
</tbody>
</table>
Activity: Sharing Tips and Techniques

PURPOSE: The purpose of this activity is to allow you to share tips and techniques for using audio and visual aids.

INSTRUCTIONS: Follow the steps below to complete this activity.

1. Work in small groups as assigned by the instructor.

2. Develop at least one new tip for using:
   - Chart pads.
   - PowerPoint visuals.
   - Audio clips.
   - Video clips.

3. Record your tips. Be prepared to present your tips in 10 minutes.
Preparation To Train

- Add notes, examples, and other information to the IG.
- Determine if additional handouts are needed.
- Rehearse the training with the visuals to establish timing.

Reviewing the IG

- Review the overall course.
- Review individual units in detail.
  - Review the Plan of Instruction at the start of the unit.
  - Become familiar with the lesson content and flow.
  - Review the visuals and Instructor Notes.
- Note areas where you don’t know enough to teach the content.
### Reviewing the Resource Guide

The Resource Guide:
- Includes supplemental information that the students will need during and after the course.

---

### Preparing the Materials

- Copy one SM per student.
- Label additional handouts for easy identification.
- Copy handouts to ensure that all students will have a copy of each.
Preparing the Classroom

- Determine desired classroom setup.
- Load the PowerPoint visuals onto the computer.
- Test all equipment.
## Preparing the Classroom

### Arranging Logistics

#### Instructor Materials

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do instructors have:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Agendas?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Presenters' names and biographies?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Any special announcements?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Instructor Guides?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Student Manuals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Other student materials (e.g., handouts, job aids, exercises, newsprint, markers)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Visuals?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Registration Materials

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there enough student name cards and registration forms?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are badges/tickets needed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is there a registration table and attendant?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the registration table conveniently located where it won’t create a bottleneck?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Post-Training Details

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have all signs been taken down?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Has all equipment been turned off?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have all materials been recovered?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have training evaluations been summarized?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have needed workshop changes been identified?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have thank you notes been sent to presenters?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Preparing the Classroom (Continued)

### Preparing Materials, Supplies, and Equipment

**Instructions:** Use this worksheet to help you prepare your materials, supplies, and equipment.

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Manuals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Handouts and evaluation forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name tents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Note paper</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pens/pencils</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Markers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Masking tape</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chart paper pads</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Easels</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer projector and spare bulb</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Slides, Files, or Transparencies</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Preparing the Classroom (Continued)

#### Preparing Materials, Supplies, and Equipment (Continued)

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screen</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Video equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Videotapes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audio equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audiotapes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Extension cord(s)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other equipment: (list)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Special supplies for conducting exercises: (list)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other items: (list)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Preparing Yourself

- Practice, practice, practice!
  - Practice in front of a mirror, using videotape, or in front of a friend or colleague.
  - Use the IG and all of the related materials.
  - Use the equipment and supplies called for in the IG.
- Get feedback.
  - Ask someone to watch your practice session.
  - Ask for and apply the feedback provided.

Making Presentations

What are the characteristics of effective presenters?
Making Presentations

Characteristics of effective instructors:

- Attending to the audience
- Observing the audience
- Using nonverbal behaviors
- Using the voice

Attending to the Audience

DO:

- Clear your mind of distractions.
- Face the students.
- Maintain a relaxed but attentive stance.
- Draw people in by walking toward them.

DON’T:

- Talk with your back to the group.
- Place a barrier between you and the students.
- Stand in a fixed position, fidget, or shift your weight.
Reviewing the Resource Guide

The Resource Guide:
- Includes supplemental information that the students will need during and after the course.

Using Nonverbal Behaviors

- Identify your audiences likely energy cycles ahead of time.
- Schedule an activity when your audience is likely to hit an energy lull.
- Eat a light lunch.
- Call a break and get some fresh air during the break.
### Using Your Voice

**DO:**
- Speak loud enough to be heard.
- Vary the pace of your presentation.
- Slow down for important points.

**DON'T:**
- Speak in a monotone voice.
- Be afraid to pause.

### Putting Yourself at Ease

**What can you do to put yourself at ease before and during training?**
Appendix A  Facilitating the Continuity Planners Workshop

Putting Yourself at Ease

- Prepare ahead of time.
- Practice and visualize the presentation.
- Do relaxation exercises (e.g., deep breathing, stretching).
- Connect with the audience ahead of time.
- Use nervousness as positive energy.
- Maintain a sense of humor.
- Realize that the students want you, the instructor, to succeed.
- Understand that it’s okay to pause to gather thoughts.

Managing the Classroom

Preparing the Instructor Team:

- Agree on responsibilities for instruction.
- Agree to ground rules for working together.
- Prepare guest speakers.
- Conduct a “dry run.”
- Develop a plan to touch base during breaks.
- Debrief at the end of each day.
Managing the Classroom

Making midcourse corrections:
- Collect continuous feedback from the students.
- Adjust the pace of the training.
- Use breaks to reassess and adjust.
- Substitute less time-consuming activities.

Ensure that corrections allow you to achieve all learning objectives!

Training Versus Workshop

What is the difference between classroom training and a workshop?
Training Versus Workshop

- Both provide knowledge base.
- Both provide opportunities to apply knowledge and skills.
- Workshops:
  - Are more interactive.
  - Allow more sharing.

Workshop Differences

How has this Workshop varied from classroom training you've taken?

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Workshop Differences

Some differences include:
- More time in activities.
- Activities that address practical, hands-on continuity planners issues.
- Activities that encourage sharing and networking.
Activity: Increasing Interaction

PURPOSE: The purpose of this activity is to increase your awareness of the skills required to improve interactivity in a workshop.

INSTRUCTIONS: Follow the steps below to complete this activity.

1. Work in small groups as assigned by the instructor.

2. The instructor will assign you one unit from the Continuity Planners Workshop to review. Review the unit and develop at least one way to increase interaction in that unit by identifying:
   - An additional activity.
   - Additional questions to ask.
   - Other suggestions.

3. Record your strategy. Be prepared to present your ideas in 15 minutes.
Summary

This appendix covered:
- The course materials.
- Adult learning characteristics.
- Training methods.
- Preparing to train.
- Differences between classroom training and workshops.