

Unit 4: Operational Phases and Implementation



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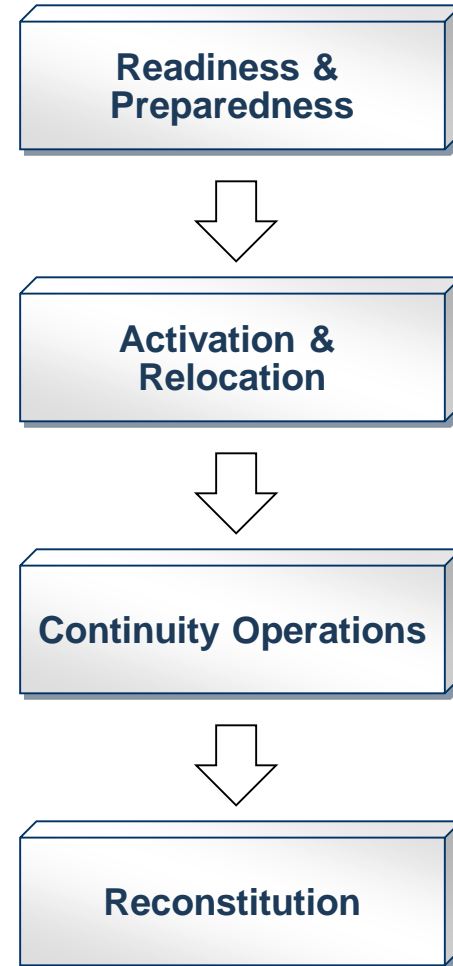
Unit 4 Objectives

- **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?



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Standard Operating Procedures (2 of 2)

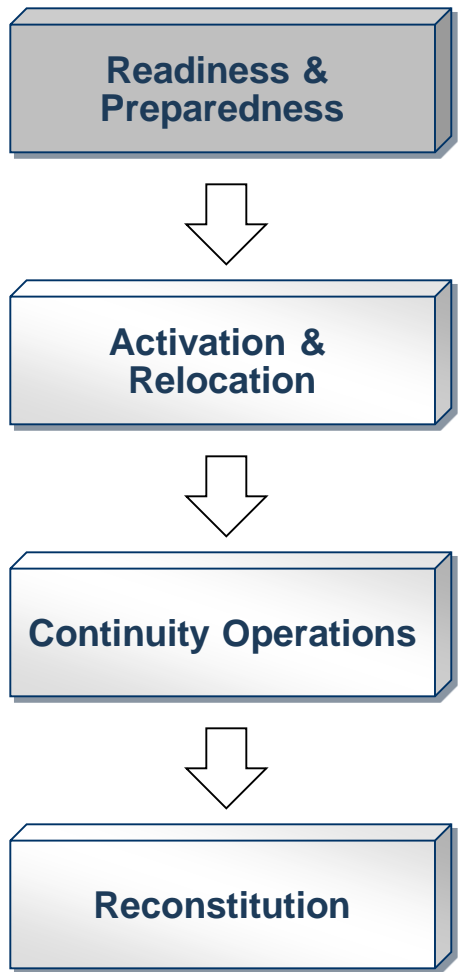
Having procedures in place:

- **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.**



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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.**



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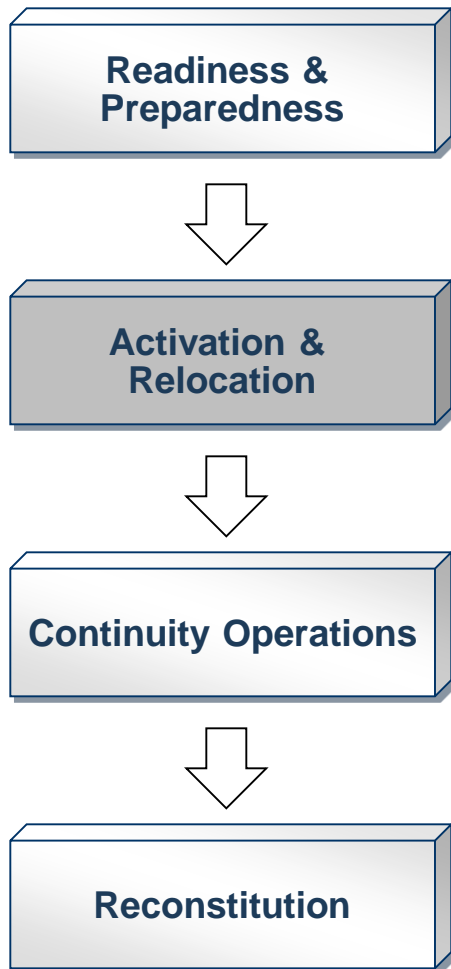
Readiness Posture

- **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.**



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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?



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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.**



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Continuity Plan Activation (1 of 2)

**How do you know when to
activate your continuity
plan?**



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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.**



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Identifying Triggers

How can identifying triggers help in activating your continuity plans?



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The Reason for Triggers

Triggers. . .

- **Help all organization personnel recognize when continuity plan activation is required.**
- **Enable a smoother transition to continuity operations.**



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Identifying Triggers (1 of 2)

**How do you identify
triggers?**



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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.**



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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.



You have 15 minutes to complete this activity.



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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.**



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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?**



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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?**



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Transition Procedures (1 of 2)

**How will you operate while
continuity personnel are
relocating?**



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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.**



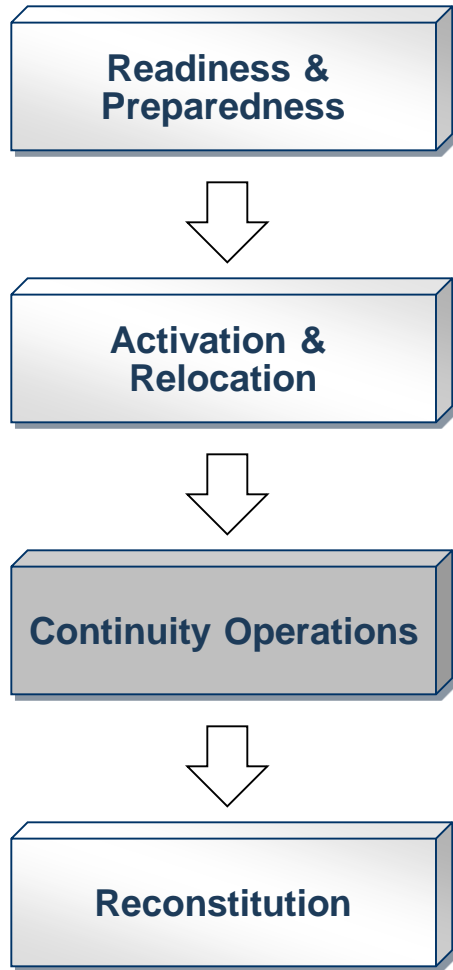
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Drive-Away Kits

- **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



- **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?



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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.



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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?**



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Accountability of Personnel (1 of 2)

How do you account for all employees in your organization?



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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!



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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.**



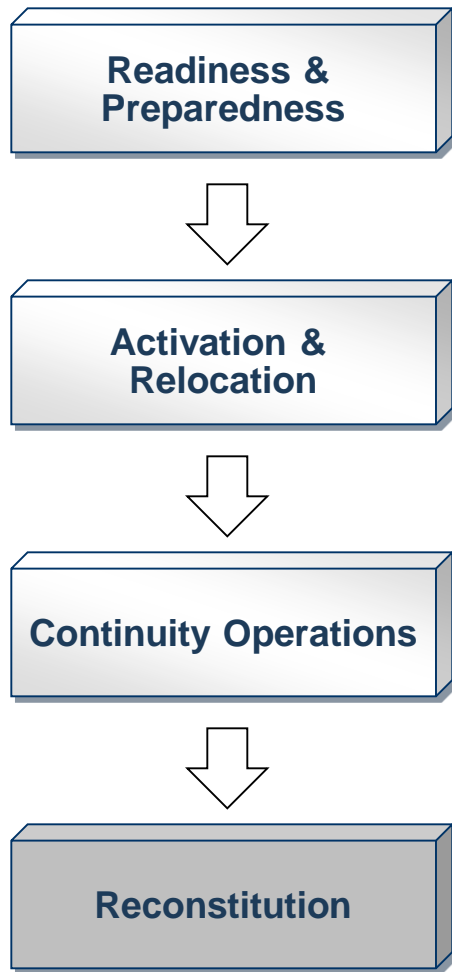
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Conduct Essential Functions

- **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.**



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Summary and Transition (2 of 2)

Questions?



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