Cal OES Continuity Program Assessment Tool (CPAT)

**Top of Form**

**Introduction**

The purpose of a continuity plan and program is to ensure that an organization can perform its essential functions and provide critical services no matter the threat or hazard faced. Developing continuity metrics and then evaluating and assessing continuity plans and programs against these metrics is an important step for planners and managers.   
  
The CPAT uses a 10-point scoring system and provides a tool to assess your continuity plan and program against the requirements for a viable continuity program as outlined in the FEMA [Continuity Guidance Circular (CGC)](https://www.fema.gov/sites/default/files/2020-10/continuity-guidance-circular-2018.pdf). The CPAT can assist your organization identify areas of strength, areas for improvement, best practices, and lessons learned.  
  
The goal of the CPAT evaluation system is to allow an organization to demonstrate progress from one assessment to the next. Following the submittal of this assessment survey, you will receive a PDF breakdown of the assessment and its corresponding scores based on your answers. The numerical score will be matched with red, yellow, and green fields to visually associate areas in which the organization has made no or limited progress (red), moderate progress (yellow), and substantial progress (green).   
  
Ideally, an organization should have mostly green and few yellow/red areas to ensure a comprehensive continuity program exists to support the performance of the organization's essential functions during under all conditions. By examining areas for improvement and areas of strength, organizations can better prioritize, and resource, continuity needs and gaps.

**Instructions**

Who?  
- Continuity Team - Continuity Coordinator, Continuity Manager, and Continuity Planner(s), and internal / external continuity stakeholders.  
  
What?  
- Utilize the CPAT Assessment (Printable) document and have each continuity team member develop their individual answers separately. Once each team member has completed a separate assessment with relevant stakeholders, discuss each other's answers and input the final decided upon answers into the assessment.   
  
When?  
- The CPAT is required on an annual basis as a method for determining whether gaps exist in the agency's continuity plan and program.

- Your agency timeline will depend on the same date as when you're required to file a copy of its Technology Recovery Plan (TRP) with the California Department of Technology. That schedule can be found here.   
  
How?   
- It is important to engage all members of the continuity team when conducting this assessment so be sure to set aside an appropriate amount of time. A proper self-assessment using the CPAT in the recommended manner should be planned for in advance of the deadline. Hours may vary based on your organizations size or structure.

- When attaching a signed copy of your agency's continuity plan to the CPAT, please be sure to join all files together into one PDF.

**Signature Page**

At the end of this survey, you will be asked to upload a signature page. The Secretary and/or Director and Continuity Planning Coordinator will certify with their signatures that the organization has completed an evaluation of their Continuity Plan and documented its status as it relates to the requirements of the program.  
  
Please either use your agency’s standard signature page or the template signature page located [here](https://www.caloes.ca.gov/wp-content/uploads/Preparedness/Documents/CPAT-Signature-Page.pdf).

**Saving Progress**

This online submission platform does not save progress due to internet loss, power loss, or computer/browser issues. There is no way to export progress once you start the submission process. Please ensure you have adequate time to submit in one sitting.

It is our recommendation to utilize the CPAT Assessment (Printable) document and have each continuity team member develop their individual answers separately. Once each team member has completed a separate assessment with relevant stakeholders, discuss each other’s answers and input the final decided upon answers into the assessment.

**Organizational Information**

**Agency/Department\***

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**Continuity Coordinator**

**Name\***

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**Phone Number\***

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**Email\***

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**Continuity Manager**

**Name\***

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**Phone Number\***

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**Email\***

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**Lead Continuity Planner**

**Name**

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**Phone Number**

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**Email**

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**Attach Continuity Plan**

Please attach a PDF of current or most recently approved (signed by Director) copy of your organization's continuity plan. **When attaching a signed copy of your agency's continuity plan, please be sure to join all files together into one PDF if they are not already one document. Limit 10MB total file size. \***

Drop file here or select file (pdf).

Bottom of Form

**Continuity Capability**

Within the CPAT, there are three sections for evaluating your continuity program, each of which correspond to the three chapters of the CGC:   
  
- Getting Started / Initiating a Continuity Capability  
- Building a Continuity Capability   
- Maintaining a Continuity Capability  
  
Each section includes continuity activities and supporting tasks critical to that chapter. These tasks are divided according to the five solution areas found within the State Preparedness Report: Planning, Organization, Equipment, Training, and Exercises (POETE).   
  
Through this format, an organization can identify its overall progress against the three steps of initiating, building, and maintaining a continuity capability, as well as identify its progress against the POETE elements. This summarizes the score for each organization by each POETE element and by each stage of continuity planning.

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

**Initiating**

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

**Planning**

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| **1. Has the organization developed a continuity project plan to guide the development of the organization's continuity capability?** | | | | |
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| No effort nor recognition of need for a continuity project plan. | The organization has made preliminary efforts to develop a continuity project plan, timeline, and milestones, but has not drafted the project plan. | The organization has drafted a continuity project plan, timeline, and milestones, but the plan is not finalized or approved. | The organization has approved and adopted the continuity project plan, timeline, and milestones and is preparing to implement the plan. | The organization has adopted the continuity project plan and is implementing the plan as outlined. |

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| **2. Has the organization identified applicable regulations and requirements to guide development of the continuity plan?** | | | | |
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| No effort nor recognition of need to identify continuity regulations or requirements. | The organization has conducted preliminary efforts to identify existing, applicable continuity regulations or requirements. | The organization has created a list of applicable continuity regulations and requirements. | The organization reviewed the list of applicable continuity regulations and requirements and is coordinating requirements with current planning efforts. | The organization uses applicable continuity regulations and requirements to guide program planning purposes. Requirements are reviewed at least annually. |

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| **3. Has the organization integrated critical external partners into the continuity planning process?** | | | | |
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| No effort nor recognition of need to identify potential partnerships within the community as it relates to continuity. | The organization conducted preliminary efforts to identify community partnerships have been made. | The organization met with critical community partners and discussed ways to incorporate them into the continuity program, but no official activities have taken place. | The organization integrated most, but not all, of the identified critical community partners into the organization's continuity planning effort. | The organization integrated critical community partners into the continuity planning effort. These partners are active participants in continuity program activities. |

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| **4. Has the organization coordinated with and integrated internal components and offices into the continuity planning process?** | | | | |
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| No effort nor recognition of need to coordinate continuity plans and programs across the organization. | The organization conducted preliminary efforts to identify intra-organizational continuity offices, plans, and programs, but has not yet conducted planning or coordination activities. | The organization has identified and reviewed other intra-organizational continuity offices, plans, and programs; active planning or coordination is in the initial stages. | The organization is currently coordinating and integrating with other intra-organizational offices and programs to synchronize continuity plans. | The organization formally coordinated and synchronized continuity plans with other intra-organizational continuity offices, plans, and programs. These partners are active participants in continuity program activities. |

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| **5. Has the organization coordinated the continuity planning effort with other incident management, risk management, and preparedness planning efforts, such as the Occupant Emergency Plan, Emergency Operations Plan, Information Technology/Disaster Recovery, and pandemic plan?** | | | | |
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| No effort nor recognition of need to coordinate continuity plans and programs across the organization. | The organization conducted preliminary efforts to identify intra-organizational continuity offices, plans, and programs, but has not yet conducted planning or coordination activities. | The organization has identified and reviewed other intra-organizational continuity offices, plans, and programs; active planning or coordination is in the initial stages. | The organization is currently coordinating and integrating with other intra-organizational offices and programs to synchronize continuity plans. | The organization formally coordinated and synchronized continuity plans with other intra-organizational continuity offices, plans, and programs. These partners are active participants in continuity program activities. |

**Organizing**

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| **6. Has the organization identified continuity program roles and responsibilities?** | | | | |
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| No effort nor recognition of need to identify continuity program roles and responsibilities. | The organization has identified roles and responsibilities of positions within the continuity program but has not filled those roles. | The organization has identified roles and responsibilities of positions within the continuity program, but has filled some, but not all, identified roles. Participants in the continuity planning team have not actively participated in planning activities or meetings on a regular basis. | The organization has identified roles and responsibilities of positions within the continuity program. The organization is actively filling vacancies in any identified positions. | The organization has clearly articulated roles and responsibilities and titled and filled those roles within the continuity program. The continuity planning team included representatives from other organizational offices or departments, met regularly, has clearly defined roles and responsibilities, and actively supported continuity planning. |

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| **7. Has the organization's senior leadership and/or elected officials supported the continuity program?** | | | | |
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| No support nor recognition of need for a continuity program from leadership and/or elected officials. | The organization maintains a continuity program, but senior leadership and/or elected officials have not actively supported or promoted the program. | Senior leadership and/or elected officials supported the continuity program, as needed, but have not participated in continuity activities. | Senior leadership and/or elected officials actively supported and promoted the continuity program and occasionally participated in both inter- and intra-organizational continuity activities. | Senior leadership and/or elected officials actively supported and promoted the continuity program and regularly participated in both inter- and intra-organizational continuity activities. |

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| **8. Has the organization identified preliminary budget and resource requirements?** | | | | |
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| No effort nor recognition of need to identify preliminary budget or resource requirements. | The organization has initiated efforts to develop a budget and resource requirements for the continuity program. | The organization has drafted a preliminary budget and resource requirements to support the continuity program, but funding and resources are not available. | The organization has drafted a preliminary budget and resource requirements for the continuity program, but funding and resources are limited. | The organization has finalized a preliminary budget and resource requirements, and funding is available to support the continuity program. |

**Training**

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| **9. Has the organization identified continuity program roles and responsibilities?** | | | | |
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| No effort nor recognition of need to train those responsible for planning in continuity. | Individuals with continuity roles and responsibilities have not received training; however, the organization has initiated efforts to identify and schedule necessary training. | Some individuals with continuity roles and responsibilities have received training. The organization has developed a plan to train the remaining individuals. | All individuals with continuity roles and responsibilities, including leadership, the planning team, and continuity manager and planners, have received continuity training. | All individuals with continuity roles and responsibilities, including leadership and the planning team, have received continuity training. The continuity planners/managers have received advanced training, such as achieving their FEMA Level I and Level II Continuity Practitioner certificate. |

**Exercise**

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| **10. Has the organization identified and incorporated the results from previous exercises and real-world events to guide the development of the continuity program?** | | | | |
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| No effort nor recognition of need to incorporate results from previous exercises and real-world events to guide the development of the continuity program. | The organization has made preliminary efforts to identify and collect the results from previous exercises and real-world events. | The organization has identified results from previous exercises and real-world events but has not yet used the results to guide development of the continuity program or plan. | The organization used results from some previous exercises and real-world events to guide current planning efforts. | The organization used results from all previous exercises and real-world events to guide current planning efforts. |

**Additional Comments**

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**Building**

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

**Planning**

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| **11. Has the organization developed a comprehensive continuity plan?** | | | | |
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| No effort nor recognition of need for a comprehensive continuity plan. | The organization initiated preliminary efforts to develop a comprehensive continuity plan. | The organization drafted a comprehensive continuity plan but has not widely shared the draft with the organization. | The organization drafted and reviewed a comprehensive continuity plan; however, senior leadership and/or elected officials have not yet formally approved the plan. | Senior leadership and/or elected officials approved the comprehensive continuity plan. |

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| **12. Has the organization conducted a Business Process Analysis (BPA)?** | | | | |
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| No effort nor recognition of need for conducting a BPA. | The organization initiated preliminary efforts to conduct a BPA but has not conducted the analysis. | The organization partially completed the BPA process. | The organization has conducted a BPA, although some areas for improvement remain. The organization has continued planning to fully address. | The organization completed a BPA and incorporated the information into the continuity plan |

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| **13. Has the organization conducted a risk assessment?** | | | | |
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| No effort nor recognition of need for conducting a risk assessment. | The organization initiated preliminary efforts to conduct a risk assessment but has not conducted the analysis. | The organization partially completed a risk assessment. | The organization has conducted a risk assessment, although some areas for improvement remain. The organization has continued planning to fully address. | The organization completed a risk assessment, which identified the potential threats and hazards to the organization and incorporated the information into the continuity plan. |

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| **14. Has the organization conducted a Business Impact Analysis (BIA)?** | | | | |
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| No effort nor recognition of need for conducting a BIA. | The organization initiated preliminary efforts to conduct a BIA but has not conducted the analysis. | The organization partially completed a BIA process. | The organization has conducted a BIA, although some areas for improvement remain. The organization has continued planning to fully address. | The organization completed a BIA, which identified how identified threats and hazards may impact the organization's ability to perform it essential functions. The organization incorporated the information into the continuity plan. |

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| **15. Has the organization identified and prioritized the essential functions that it must continue to perform during a continuity event?** | | | | |
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| No effort nor recognition of need for identifying and prioritizing organizational essential functions. | The organization made preliminary efforts to identify organizational essential functions but has not created a formal list. | The organization identified organizational essential functions but has not prioritized these functions. | The organization identified and prioritized organizational essential functions, although some areas for improvement remain. The organization has continued planning to fully address. | The organization identified, prioritized, and adopted organizational essential functions and incorporated these functions into the continuity plan. |

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| **16. Has the organization identified and planned for mitigation options to support the continuance of essential functions, such as identifying alternate sites, teleworking, developing devolution plans, or entering into mutual aid agreements?** | | | | |
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| No effort nor recognition of need for identifying mitigation options for continuity. | The organization initiated preliminary efforts to identify mitigation options but has not identified formal strategies. | The organization identified mitigation options but has not completed planning for each identified option. | The organization identified mitigation options and completed planning for most options, although areas for improvement remain. The organization has continued planning to fully address and support each identified mitigation option. | The organization identified mitigation options and fully planned for each option to support the continuance of essential functions during an event that disrupts normal operations. |

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| **17. Has the organization established and documented orders of succession to ensure an orderly and predefined transition of leadership?** | | | | |
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| No effort nor recognition of need to establish and document orders of succession. | The organization partially drafted orders of succession for key positions but has not completed the documents. | The organization drafted orders of succession for the organization head but has not completed orders of succession for other key positions. | The organization established orders of succession for all key positions, although areas for improvement remain, such as orders not three positions deep or geographically dispersed, where possible. | The organization established and documented orders of succession that are at least three positions deep and geographically dispersed, where possible. General Counsel approved the orders of succession. |

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| **18. Has the organization established and documented delegations of authority to make key decisions, conduct essential functions, and direct the organization?** | | | | |
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| No effort nor recognition of need to establish and document delegations of authority. | The organization initiated drafting of delegations of authority for key positions but has not completed the documents. | The organization drafted delegations for organization direction but has not completed delegations for other key functions. | The organization established delegations of authority for most key functions. | The organization established delegations of authority for all key functions. General Counsel approved the delegations. |

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| **19. Has the organization clearly explained the expectations, roles, and responsibilities for all personnel during a continuity plan activation?** | | | | |
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| No effort nor recognition of need to explain the expectations, roles, and responsibilities for personnel. | The organization initiated drafting of expectations, roles, and responsibilities, but has not completed the effort. | The organization clearly explained the expectations, roles, and responsibilities in writing for continuity personnel, but has not completed for all staff. | The organization clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated but has not completed notification of all personnel. | The organization clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated and disseminated this information to all staff. |

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| **20. Has the organization implemented a strategy to communicate the organization's operating status to all staff and with external stakeholders?** | | | | |
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| No effort nor recognition of need to implement strategies to communicate with staff and stakeholders. | The organization initiated preliminary efforts to identify strategies to communicate with staff and stakeholders. | The organization developed a strategy to communicate instructions, operating status, and other information with some stakeholders, but not all. | The organization developed a process to communicate instructions, operating status, and other information with all personnel and external stakeholders, but backup strategies are not identified. | The organization developed multiple strategies to communicate instructions, operating status, and other information with all personnel and external stakeholders. |

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| **21. Has the organization implemented a process to account for all staff, including contractors, in the event of an emergency?** | | | | |
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| No effort or recognition of need to account for all staff. | The organization initiated preliminary efforts to identify strategies account for all staff. | The organization developed a process to account for all personnel, but the process is fragmented. | The organization developed a process to account for all personnel but has not identified backup strategies. | Multiple processes exist to account for all personnel. |

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| **22. Has the organization ensured the needs of personnel with disabilities are considered during the continuity planning process?** | | | | |
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| No effort nor recognition of need to explain the expectations, roles, and responsibilities for personnel. | The organization-initiated efforts to coordinate and integrate the needs of personnel with disabilities into the planning process. | The organization disseminated the continuity plan in advance of an emergency. The plan included information on how personnel request a reasonable accommodation. The organization has not incorporated commonly requested reasonable accommodations into the plan. | The continuity plan is disseminated in advance of an emergency to continuity personnel and includes how personnel request a reasonable accommodation and already incorporates commonly requested reasonable accommodations into the plan. | The continuity plan is disseminated in advance of an emergency to all personnel and includes how personnel request a reasonable accommodation and already incorporates commonly requested reasonable accommodations into the plan. |

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| **23. Has the organization provided guidance to employees on individual and community preparedness actions to ensure readiness during a continuity activation?** | | | | |
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| No effort nor recognition of need to provide guidance on individual and community preparedness actions. | The organization-initiated efforts to identify guidance on individual and community preparedness actions. | The organization drafted guidance on individual and community preparedness but has not widely shared this guidance with the organization. | The organization provided guidance to all employees on individual and community preparedness actions. The organization has not yet conducted preparedness activities to support this guidance. | The organization provided guidance to all employees on individual and community preparedness actions to ensure readiness during a continuity activation and conducted preparedness activities to support this guidance. |

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| **24. Has the organization identified and inventoried essential records, including emergency operating records and legal and financial rights records?** | | | | |
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| No effort nor recognition of need to inventory essential records. | The organization-initiated efforts to identify and inventory essential records. | The organization has partially identified and/or inventorying essential records, but the process is not complete or comprehensive. | The organization identified and inventoried all essential records, but the inventory requires additional detail. | The organization identified and inventoried all essential records, to include the locations of identified records and date of record. |

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| **25. Has the organization developed a plan or procedures to activate your continuity plan?** | | | | |
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| No effort nor recognition of need to develop a plan or process to activate the continuity plan. | The organization-initiated efforts to develop activation procedures. | The organization drafted activation procedures, but the procedures were not complete, comprehensive, nor approved. | The organization developed, but not finalized procedures to activate the continuity plan. Additional details or procedures for activation are being finalized. | The organization finalized procedures to activate the continuity plan, to include identifying triggers and the individuals with the authority to activate. |

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| **26. Has the organization developed a plan or procedures to recover from the effects of an emergency and transitioning back to normal operations after a continuity activation?** | | | | |
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| No effort nor recognition of need to develop a plan or procedures to recover from the effects of an emergency. | The organization-initiated efforts to develop reconstitution plans or procedures. | The organization drafted reconstitution procedures, but the procedures are not complete, comprehensive, nor approved. | The organization developed, but not yet finalized a plan or procedures to recover from the effects of an emergency. Additional details or procedures for reconstitution are being finalized. | The organization finalized a plan or procedures to recover from the effects of an emergency, to include assessing the status of affected operations and returning to normal operations. |

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| **27. Has the organization identified continuity personnel who would support the performance of essential functions during a continuity plan activation?** | | | | |
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| No effort nor recognition of need to identify continuity personnel. | The organization-initiated efforts to identify continuity personnel. | The organization has identified continuity personnel but has not informed these individuals in writing of their roles and responsibilities. The organization has not identified alternates for positions. | The organization has identified continuity personnel and informed these individuals in writing of their roles and responsibilities. The organization identified alternates for most positions and satisfied any applicable collective bargaining obligations. | The organization identified continuity personnel and alternates and informed these individuals in writing of their roles and responsibilities. The organization satisfied any applicable collective bargaining obligations. |

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| **28. Has the organization established an appropriate point-of-contact rosters of trained continuity personnel?** | | | | |
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| No effort nor recognition of need to develop a roster of continuity personnel. | The organization-initiated efforts to develop a roster of continuity personnel but has yet to create a roster. | The organization maintains a contact roster of primary continuity personnel but has not included alternates. The roster included at least one method to contact personnel. | The organization maintains a contact roster of primary and alternate continuity personnel. The roster includes multiple methods to contact most personnel. | The organization maintains a contact roster of primary and alternate continuity personnel. The roster includes multiple methods to contact personnel. |

**Equipping**

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| **29. Has the organization identified and implemented interoperable and available communications capabilities for the performance of essential functions?** | | | | |
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| No effort nor recognition of need to identify and implement interoperable and available communications capabilities. | The organization-initiated efforts to identify and implement interoperable and available communications capabilities to support identified essential functions. | The organization identified interoperable and available communications capabilities to support identified essential functions but has not implemented these capabilities. | The organization identified interoperable and available communications capabilities to support identified essential functions, and implemented most, but not all. | The organization identified and implemented interoperable and available communications capabilities to support identified essential functions. Systems are connected to back-up power capability. |

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| **30. Has your organization identified critical systems and equipment and associated recovery time objectives to support identified essential functions and access essential records?** | | | | |
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| No effort or recognition of need to identify and obtain critical systems and equipment to support identified essential functions and access essential records. | The organization-initiated efforts to identify critical systems to support identified essential functions and associated recovery time objectives. | The organization identified critical systems to support identified essential functions but has not identified recovery time objectives. | The organization identified critical systems, and developed processes in place to ensure an acceptable recovery time objective, for most, but not all systems. | The organization identified critical systems and equipment to support essential functions and access essential records and implemented processes to ensure an acceptable recovery time objective. Systems are connected to back-up power capability. |

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| **31. Has your organizational continuity program synchronized resources to support continuity events with other continuity plans and programs (both internally and externally)?** | | | | |
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| No effort nor recognition of need to synchronize resources for continuity events with continuity plans and programs across the organization or with other organizations. | The organization-initiated efforts to coordinate resources with other inter- and intra-organizational continuity plans and programs. | The organization identified other inter- and intra-organizational continuity resources; however, coordination is in the initial stages. | The organization coordinated and synchronized other inter- and intra-organizational continuity resources and initiated a system for resource management (including MOUs/MOAs). | A complete synchronization of resources across other inter- and intra-organizational continuity plans and programs has been completed. |

**Training**

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| **32. Have all staff members completed continuity awareness training?** | | | | |
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| No effort or recognition of need for continuity awareness training. | The organization-initiated efforts to develop continuity awareness training for all staff. | Training on roles, responsibilities, and expectations has been created, but has not been provided to staff. | Most, but not all, staff completed awareness training on the continuity plan and roles, responsibilities, and expectations upon its activation. | All required staff completed awareness training on the continuity plan and roles, responsibilities, and expectations upon its activation. |

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| **33. Has the organization trained continuity personnel on continuity plans and strategies?** | | | | |
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| No effort nor recognition of need to conduct training for continuity personnel. | The organization has not provided formal training provided to continuity personnel; the organization-initiated efforts to prepare necessary training. | The organization has conducted some training of primary and alternate continuity personnel, to include leadership and/or elected officials. | Most primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training. | All primary and alternate continuity personnel, to include leadership and/or elected officials, have received up-to-date training. |

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| **34. Has continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally)?** | | | | |
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| No effort nor system underway nor recognition of need to synchronize or coordinate continuity training programs with other inter- and intra-organizational continuity programs. | The organization-initiated efforts to identify necessary training on other inter- and intra-organizational continuity plans and programs. | Plans to conduct training on the synchronization of inter- and intra-organizations continuity plans and programs has been drafted, but training has not been conducted. | The organization conducted training on the synchronization of inter- and intra-organizations continuity plans and programs, but not all continuity personnel were trained. | The organization trained all continuity planning team members on other inter- and intra-organizational continuity programs. |

**Exercise**

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| **35. Has the organization conducted testing of alert and notification procedures?** | | | | |
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| No effort nor recognition of need for testing of alert and notification procedures. | The organization-initiated efforts to begin testing, but testing has yet to occur. | The organization tested alert and notification procedures but has not implemented improvement action planning. | The organization tested alert and notification procedures and implemented improvement action planning. The organization has not compared results to previous tests or results were similar to previous tests. | The organization tests alert and notification procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |

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| **36. Has the organization conducted testing of activation procedures?** | | | | |
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| No effort nor recognition of need for testing of activation procedures. | The organization-initiated efforts to begin testing, but testing has yet to occur. | The organization tested activation procedures. The organization has not implemented improvement action planning. | The organization tested activation procedures and implemented improvement action planning. The organization has not compared results to previous tests or results were similar to previous tests. | The organization tested activation procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |

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| **37. Has the organization conducted testing of accountability procedures?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need for testing of accountability procedures. | The organization-initiated efforts to begin testing, but testing has yet to occur. | The organization tested accountability procedures but has not implemented improvement action planning. | The organization tested accountability procedures and implemented improvement action planning. The organization has not compared results to previous tests or results were similar to previous tests. | The organization tested accountability procedures and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |

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| **38. Has the organization conducted testing of the interoperable and available communications capabilities that support identified essential functions?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing communication capabilities. | The organization-initiated efforts to begin testing, but testing has yet to occur. | The organization tested communications procedures with internal partners. The organization has not tested with external partners and has not implemented improvement action planning. | The organization tested communications capabilities with internal and external partners and implemented improvement action planning. The organization has not compared results to previous tests or results were similar to previous tests. | The organization tested communications capabilities with internal and external partners and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |

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| **39. Has the organization conducted testing of critical systems and equipment and strategies to meet associated recovery time objectives?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need for testing of recovery time objectives for critical systems and equipment. | The organization-initiated efforts to begin testing, but testing has yet to occur. | The organization tested recovery time objectives for critical systems and equipment but has not implemented improvement action planning. | The organization tested recovery time objectives for critical systems and equipment and implemented improvement action planning. The organization has not compared the results to previous tests or results were similar to previous tests. | The organization tested recovery time objectives for critical systems and equipment and implemented improvement action planning. Testing demonstrated an improvement compared to previous tests. |

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| **40. Has the organization regularly conducted organization-wide continuity exercises that include exercising of mitigation options that support the continuance of essential functions?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need for conducting continuity exercise activities within the organization. | The organization-initiated planning for a continuity exercise but has not conducted a formal exercise. | The organization conducted an exercise to test the comprehensive continuity plan. The exercise was limited scope with limited participation. | The organization, including senior leadership, exercised the continuity plan via tabletop exercises. The organization incorporated all or parts of the plan into organization-wide exercises and implemented improvement action planning. | The organization, including senior leadership, exercised the comprehensive continuity plan via functional or full-scale exercises. The organization incorporated all or parts of the plan into organization-wide exercises and implemented improvement action planning. |

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| **41. Has the organization conducted exercises of the reconstitution plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after a continuity activation?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need for conducting reconstitution exercise activities within the organization. | The organization-initiated planning for a reconstitution exercise but has not conducted a formal exercise. | Exercises to test the reconstitution plan and procedures have been conducted in limited scope with limited participation. Reconstitution is not included in organization-wide exercises, including exercises of the continuity plan. | The organization, including senior leadership, exercises the reconstitution plan via tabletop exercises. All or parts of the reconstitution plan are incorporated into organization-wide exercises. Improvement action planning is being implemented. | The organization, including senior leadership, exercises the reconstitution plan via functional or full-scale exercises. All or parts of the plan are incorporated into organization-wide exercises. Improvement action planning is being implemented. |

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| **42. Has the organization exercised with internal and external partners to coordinate continuity plans and programs?** | | | | |
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| No effort nor system underway nor recognition of need to synchronize or coordinate continuity exercise programs with other inter- and intra-organizational continuity programs. | The organization-initiated exercise coordination with internal and external partners but has not conducted coordinated exercises. | The organization drafted plans to conduct exercises on the synchronization of inter- and intra-organizations continuity plans and programs but has not conducted coordinated exercises. | The organization conducted exercises on the synchronization either inter- or intra-organizations continuity plans and programs, but partners or integration points were not comprehensive. | The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs with the organization's continuity plan and program and participated in associated improvement action planning to improve partner coordination. |

**Additional Comments**

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**Maintaining**

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

**Planning**

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| **43. Has the organization developed a multi-year strategic plan to provide for the development, maintenance, and review of the continuity plan and program?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need to conduct multi-year strategic planning. | The organization-initiated efforts to conduct multi-year strategic planning. | The organization conducted strategic planning on an ad hoc basis but has not developed a formal multi-year strategic plan. | The organization developed a multi-year strategic plan but does not review the plan on an annual basis over a multi-year period. | Organization leadership approved a formal, multi-year strategic plan. The organization reviewed the plan annually over a multi-year period to assess progress against the goals identified within the plan. |

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| **44. Has the organization developed metrics or success criteria in order to evaluate the continuity plan and program on a regular basis?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need to identify continuity metrics or success criteria. | The organization-initiated efforts to identify continuity metrics or success criteria to evaluate the organization's continuity plans and program. | The organization developed continuity metrics or success criteria to evaluate the organization's continuity plans and program but has not evaluated the program on a regular basis. | The organization developed continuity metrics or success criteria to evaluate the organization's continuity plans and program and used the metrics to evaluate plans and programs. The organization reviewed and updated these metrics or criteria within the past year but has not reviewed the metrics over a multi-year period. | The organization developed continuity metrics or success criteria to evaluate the organization's continuity plans and program and used the metrics to evaluate the plans and programs. The organization reviewed and updated these metrics or criteria on an annual basis over a multi-year period. |

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| **45. Has the organization established a working group that reviews and revises the continuity plan according to a regular, formal schedule?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need to identify a review cycle for continuity plans and other documents. | The organization-initiated efforts to establish a review cycle for the organization's continuity strategy, plan, and supporting documents/agreements. | The organization reviewed the continuity strategy, plan, and supporting documents on an ad hoc basis. | The organization established a formal schedule and working group to review and revise the organization's continuity strategy, plan, and supporting documents/agreements. The organization reviewed the documents within the past year but has not reviewed annually over a multi-year period. | The organization established a formal schedule and working group to review and revise the organization's continuity strategy, plan, and supporting documents/agreements. Documents were reviewed on at least an annual basis over a multi-year period. |

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| **46. Has the organization reviewed and updated, as needed, its Business Process Analysis (BPA)?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting a BPA. | The organization completed a BPA but has not reviewed the BPA. | The organization completed a BPA and reviewed the BPA on an ad hoc basis or less frequently than biennially. | A BPA is completed and reviewed and updated within the past two years. A biennial review has not been conducted over a multi-year period. | The organization reviewed and updated, as necessary, the BPA on a biennial basis over a multi-year period. |

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| **47. Has the organization reviewed and updated, as needed, its risk assessments?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting risk assessments. | The organization conducted a risk assessment but has not reviewed the assessment. | The organization conducted a risk assessment and reviewed the assessment on an ad hoc basis or less frequently than biennially. | The organization conducted a risk assessment and reviewed and updated, as necessary, the assessment within the past two years. The organization has not conducted a biennial review over a multi-year period. | The organization conducted a risk assessment and reviewed and updated, as necessary, the assessment on a biennial basis over a multi-year period. |

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| **48. Has the organization reviewed and updated, as needed, its BIA?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting a BIA. | The organization completed a BIA but has not reviewed the BIA. | The organization reviewed the BIA on an ad hoc basis or less frequently than biennially. | The organization reviewed and updated the BIA within the past two years. The organization has not conducted a biennial review over a multi-year period. | The organization reviewed and updated the BIA on a biennial basis over a multi-year period. |

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| **49. Has the organization reviewed and updated, as needed, its orders of succession and delegations of authority?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for developing orders of succession and delegations of authority. | The organization completed orders of succession and delegations of authority but has not reviewed the documents. | The organization reviewed orders of succession and delegations of authority on an ad hoc basis, reviewed less frequently than annually, or has not reviewed all documents. | The organization reviewed and updated orders of succession and delegations of authority within the past year. The organization has not conducted an annual review over a multi-year period. | The organization reviewed and updated orders of succession and delegations of authority on an annual basis over a multi-year period. |

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| **50. Has the organization reviewed and updated essential records and the essential records inventory, including emergency operating records and legal and financial rights records?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for identifying the essential records and developing an inventory. | The organization identified essential records and completed an inventory. The organization has not reviewed the currency of records or the inventory. | The organization reviewed essential records and the essential records inventory on an ad hoc basis, reviewed less frequently than annually, or have not reviewed all documents. | The organization reviewed and updated essential records and the inventory within the past year. The organization has not conducted an annual review over a multi-year period. | The organization reviewed and updated essential records and the essential records inventory on an annual basis over a multi-year period. |

**Organizing**

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| **51. Has the organization's continuity program established a Corrective Action Program (CAP) to track and implement areas for improvement from tests, training, and exercise events and real-world activities?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for a CAP | The organization conducted after action reviews and captured lessons learned after exercise and real-world events, but the organization has not centralized this information into the CAP. | The organization implemented a CAP to track areas for improvement, but does not include all events in the CAP. | The organization implemented a CAP to track areas for improvement. The organization consistently addressed improvement items, but has not sustained this effort over a multi-year period. | The organization implemented a CAP to track areas for improvement. The organization consistently addresses improvement items over a multi-year period. |

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| **52. Has the continuity planning team met on a regular basis?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need a continuity planning team. | The organization established a continuity planning team, but the team has not met. | The continuity planning team met on an ad hoc basis. | The continuity planning team met on a regular, established basis, but has not sustained the meeting schedule over a multi-year period. | The continuity planning team met on a regular established basis over a multi-year period. |

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| **53. Has the organization regularly updated appropriate point-of-contact rosters of continuity personnel?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for developing contact rosters. | The organization completed a contact roster, but has not reviewed or updated the roster within the past three months. | The organization reviewed and updated the contact roster within the past three months, but the organization conducted reviews on an ad hoc basis. | The organization reviewed and updated the contact roster on at least a quarterly basis over a multi-year period. | The organization reviewed and updated the contact roster on at least a monthly basis over a multi-year period. |

**Equipping**

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| **54. Has the organization designated a budget specific to the continuity program to support resource acquisition and continuity planning?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need to budget for or acquire resources to support the continuity program and activation of the continuity plan. | The organization-initiated development budget and resource requirements for the continuity program. | The organization drafted budget and resource requirements for the program, but funding and resources were not available or were limited. The organization has not updated the budget on an annual basis or has not sustained annual updates over a multi-year period. | The organization fully budgeted and provided resources for the continuity program (only minor gaps exist); the organization updated the budget at least annually over a multi-year period. | The organization fully budgeted for the continuity program and provided necessary resources (only minor gaps exist); the organization updated the budget at least annually over a multi-year period. The organization included the continuity budget within organizational budget strategic planning efforts and documents. |

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| **55. Has the organization's continuity program identified how it will fund operations and acquire necessary resources to support the implementation of the continuity plan during a continuity event?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need to identify resources to support the implementation of the continuity plan | The organization has initiated efforts to identify resource and funding requirements for the implementation of the continuity plan. | The organization identified resource and funding requirements for the implementation of the continuity plan, but resources and funding was limited or not available. | The organization identified all resources required to fund operations and incorporated these requirements into the continuity budget. Funding execution was dependent upon activation of the continuity plan. | The organization identified and acquired all resources required to fund operations and support the implementation of the continuity plan, incorporated these requirements into the continuity budget, and funded the requirements. |

**Training**

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| **56. Has the organization regularly trained continuity personnel on continuity plans and strategies?** | | | | |
|  |  |  |  |  |
| No effort nor recognition of need to conduct training for continuity personnel on a regular basis. | The organization trained primary and alternate continuity personnel, to include leadership and/or elected officials. The organization has not conducted training within the past year. | The organization conducted some training of primary and alternate continuity personnel, to include leadership and/or elected officials within the past year. The organization has not conducted the training on an annual basis over a multi-year period. | Most primary and alternate continuity personnel, to include leadership and/or elected officials, received up-to-date training within the past year and annually over a multi-year period. | All primary and alternate continuity personnel, to include leadership and/or elected officials, received up-to-date training within the past year and annually over a multi-year period. |

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| **57. Have continuity personnel participated in regular continuity training activities with other continuity programs (both internally and externally) on a regular basis?** | | | | |
|  |  |  |  |  |
| No effort or system underway nor recognition of need to synchronize or coordinate continuity training programs with other inter- and intra-organizational continuity programs. | The organization trained with and on other inter- and intra-organizational continuity plans and programs was previously conducted but has not conducted training within the past year. | The organization conducted some training with and on other organizational continuity plans and programs within the past year. The organization has not conducted the training on an annual basis over a multi-year period and the training was not inclusive of all internal and external partners. | The organization participated in some training with and on both inter- and intra-organizational continuity plans and programs within the past year. The organization has not provided the training on an annual basis over a multi-year period. | Continuity personnel participated in regular training with and on other inter- and intra-organizational continuity plans and programs within the past year and annually over a multi-year period. |

**Exercise**

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| --- | --- | --- | --- | --- |
| **58. Has the organization conducted regular testing of alert and notification procedures?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing of alert and notification procedures. | The organization previously conducted testing. The organization has not conducted testing within the past year. | The organization conducted stand-alone testing of alert and notification procedures within the past year. The organization has not conducted a test on an annual basis over a multi-year period. | The organization conducted stand-alone testing of alert and notification procedures within the past year. Testing occurred at least annually over a multi-year period. | The organization tested alert and notification procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |

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| **59. Has the organization conducted regular testing of activation procedures?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing of activation procedures. | The organization previously conducted testing. Testing has not occurred within the past year. | The organization conducted stand-alone testing of activation procedures within the past year. The organization has not conducted a test on an annual basis over a multi-year period. | The organization conducted stand-alone testing of activation procedures within the past year. Testing occurred at least annually over a multi-year period. | The organization tested activation procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |

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| **60. Has the organization conducted regular testing of accountability procedures?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing of accountability procedures. | The organization previously conducted testing. The organization has not conducted testing within the past year. | The organization conducted stand-alone testing of accountability procedures has occurred within the past year. The organization has not conducted a test on an annual basis over a multi-year period. | The organization conducted stand-alone testing of accountability procedures within the past year. Testing occurred at least annually over a multi-year period. | The organization tested accountability procedures within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |

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| **61. Has the organization conducted regular testing of the interoperable and available communications capabilities that support identified essential functions?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing communication capabilities. | The organization previously conducted testing with internal or external partners. The organization has not conducted testing within the past year. | The organization conducted stand-alone testing of communications systems with internal and external partners within the past year. The organization has conducted a test on an annual basis over a multi-year period. | The organization conducted stand-alone testing of communications systems with internal and external partners within the past year. Testing occurred at least annually over a multi-year period. | The organization tested communications systems with internal and external partners within the past year by incorporating the test into an organization-wide exercise. Testing occurred at least annually over a multi-year period. |

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| --- | --- | --- | --- | --- |
| **62. Has the organization conducted regular testing of critical systems and equipment and strategies to meet associated recovery time objectives?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for testing of recovery time objectives for critical systems and equipment. | The organization previously conducted testing. The organization has not conducted testing within the past year. | The organization has conducted stand-alone testing of recovery time objectives for critical systems and equipment within the past year. The organization has not conducted a test on an annual basis over a multi-year period. | The organization conducted stand-alone testing of recovery time objectives for critical systems and equipment within the past year. Testing occurred at least annually over a multi-year period. | The organization tested recovery time objectives for critical systems and equipment within the past year by incorporating the test into an organization-wide exercise. Testing occurs at least annually over a multi-year period. |

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| **63. Has the organization regularly conducted organization-wide continuity exercises?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting continuity exercise activities within the organization. | The organization previously conducted organization-wide continuity exercises. The organization has not conducted an exercise within the past year. | The organization conducted an organization-wide continuity exercise within the past year. The organization has not conducted an exercise on an annual basis over a multi-year period. | The organization, including senior leadership, exercised the comprehensive continuity plan in a tabletop exercise within the past year and annually over a multi-year period. | The organization, including senior leadership, exercised the comprehensive continuity plan in a functional or full-scale exercise within the past year and annually over a multi-year period. |

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| --- | --- | --- | --- | --- |
| **64. Has the organization progressively exercised its continuity plan and procedures?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting continuity exercise activities within the organization. | The organization previously conducted exercises of its continuity plan or procedures but has not conducted an exercise within the past year. | The organization conducted a tabletop exercise of its continuity plan or procedures within the past year. | The organization conducted a functional or full-scale exercise of its continuity plan within the past two years and conducted a tabletop or other exercise within the past year, as part of its multi-year test, training, and exercise plan. | The organization conducted a functional or full-scale exercise of its continuity plan within the past year. |

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| **65. Has the organization conducted exercises of the reconstition plan or procedures to exercise recovery from the effects of an emergency and transitioning back to normal operations after a continuity activation?** | | | | |
|  |  |  |  |  |
| No effort or recognition of need for conducting reconstitution exercise activities within the organization. | The organization previously conducted a reconstitution exercise. The organization has not conducted an exercise within the past two years. | The organization conducted a reconstitution exercise within the past two years. The organization has conducted an exercise on a biennial basis over a multi-year period. | The organization, including senior leadership, exercised the reconsitution plan in a tabletop exercise within the two past years and biennially over a multi-year period. | The organization, including senior leadership, exercised the reconstitution plan in a functional or full-scale exercise within the past two years and biennially over a multi-year period. |

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| --- | --- | --- | --- | --- |
| **66. Has the organization regularly exercised with internal and external partners to coordinate continuity plans and programs?** | | | | |
|  |  |  |  |  |
| No effort or system underway nor recognition of need to synchronize or coordinate continuity exercise programs with other inter- and intra-organizational continuity programs. | The organization conducted previous exercises with and on other inter- and intra-organizational continuity plans and programs but has not conducted an exercise within the past year. | The organization conducted exercises with and on other inter- and intra-organizational continuity plans and programs within the past year. The organization has not conducted an exercise on an annual basis over a multi-year period. | The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs in a tabletop exercise within the past year and has exercised annually over a multi-year period. | The organization exercised the synchronization of other inter- and intra-organizational continuity plans and programs in a functional or full-scale exercise within the past year and has exercised annually over a multi-year period. |

**Additional Comments**

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**Plan Assessment**

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

**Program Management – Plans and Procedures**

An important element of a continuity plan is to address the needs and gaps of the overall program. An effective continuity program is implemented through its related continuity plans and procedures and an operational capability to support those plans and procedures. Continuity planning is an effort to document the existence of and ensure the capability to continue essential functions during a wide range of potential emergencies.

|  |  |
| --- | --- |
| **1a. Procedures for employee advisories, alerts and continuity plan activation are included.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **1b. Where addressed in plan or corrective action if not addressed in plan:** | |
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|  |  |
| --- | --- |
| **2a. Provisions for personnel accountability throughout the duration of the emergency are included.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **2b. Where addressed in plan or corrective action if not addressed in plan:** | |
|  | |

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| --- | --- |
| **3a. Planned Maintenance: Procedures exist for an annual review of the agency continuity plan and supporting documents with the ability to revise as needed.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **3b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **4a. Includes a risk or hazard analysis to identify threats to facilities and operations.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **4b. Where addressed in plan or corrective action if not addressed in plan:** | |
|  | |

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| --- | --- |
| **5a. Includes concept of operations section that identifies activation criteria, responsibilities, and command and control during continuity plan activation, operations, and reconstitution/recovery.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **5b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **6a. Established critical staffing/readiness levels to provide a flexible and coordinated response to escalating threat levels or actual emergencies.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **6b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **7a. Continuity plans have been developed for all stakeholders/departments (internal/external) that support organizational essential business functions.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **7b. Where addressed in plan or corrective action if not addressed in plan:** | |
|  | |

**Essential Functions**

Essential Functions are those organizational functions that must be continued under all circumstances. These functions are derived from the organization's overall functions and missions and, when identified, should be prioritized to ensure the most critical functions are appropriately emphasized. Essential Functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency**.**

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| **8a. Executive Summary: Initial narrative that summarizes all the viable continuity elements within the plan.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **8b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **9a. Purpose, scope, goals, objectives, and authorities clearly defined.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **9b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **10a. Planning: Situation and planning assumptions are linked to essential functions that are listed, prioritized, and documented in the plan.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **10b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| --- | --- |
| **11a. Functional roles and responsibilities for internal and external stakeholders/organizations and positions supporting essential functions are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **11b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **12a. Logistical support and resource requirements for to re-establish and sustain essential function are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **12b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **13a. Critical data and data systems for each essential function are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **13b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **14a. Support activities are addressed as part of essential functions.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **14b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **15a. Resumption or recovery exist for essential functions to ensure operational capability within 12 hours.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **15b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **16a. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **16b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **17a. Considered and identified the department's role in supporting the State Emergency Functions.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **17b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Order of Succession/Delegation of Authority**

Each organization is required to establish, circulate, and maintain an order of succession for key positions. This order of succession should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations.   
  
Delegations of authority specify who is authorized to act on behalf of the Agency head or other officials for specified purposes. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted. Delegations of authority at the headquarters, regional, field, satellite, and other levels and agency locations, as appropriate, are included in the applicable continuity implementation plans.

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| **18a. Order of Succession is established for the agency's highest position of authority.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **18b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **19a. Order of succession is established for other key leadership positions that are linked to essential business functions.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **19b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **20a. Policy for the delegation of emergency authorities is established and described. Limitations for delegated authorities are listed.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **20b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **21a. Order of succession are included in continuity plans.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **21b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **22a. Rosters of trained personnel with the authority to perform essential functions and activities are maintained.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **22b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **23a. Rules and procedures for implementing order of succession are established.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **23b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **24a. Order of succession include initiating conditions, notification methods, and terminating conditions and procedures.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **24b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Continuity Facilities**

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

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| **25a. Immediate capability exists to operate under potential threat conditions including HazMat / WMD / Pandemic threats.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **25b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **26a. Sufficient space and equipment to sustain the relocating organization are identified and included in relocation planning.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **26b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **27a. Pre-positioned resources are identified and where possible contingency contracts are established or prepared with appropriate resource providers.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **27b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **28a. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers, and the public. Includes telework functions/procedures.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **28b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **29a. Alternate facilities provide for logistical support, services, and infrastructure systems (e.g., water, electrical power, heating, and air conditioning)** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **29b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **30a. Plan contains provisions to sustain operations for a period of up to 30 days.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **30b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **31a. Plan addresses considerations for the health and safety of relocated employees. Includes telework staff.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **31b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **32a. Plan addresses alternate facility operating capabilities, physical security, and access controls.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **32b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Continuity Communications/IT Systems Recovery**

The success of continuity programs is dependent on the availability to provide intra- and interagency connectivity. An agency's ability to execute its essential functions at its HQ and at alternate or other continuity facilities depends upon the availability of effective communications systems. If this section is addressed in the organization's Technology Recovery Plan (TRP), work with the TRP Manager to identify where this information residence and indicate this in the column on the text field.

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| **33a. Procedures or plans exist for communications and IT Systems linked to the continuity plan, contingency staff, management, and other organizational components are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **33b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **34a. Procedures or plans exist for communications and IT systems that support essential business functions are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **34b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **35a. Procedures or plans exist for access to data and systems necessary to conduct essential activities and functions are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **35b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **36a. Procedures for protection of critical applications, communications, and resources are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **36b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **37a. Critical business systems (processes, applications, functions, and equipment) prioritized based on Recovery Time Objectives (RTOs) is identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **37b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Human Resources**

In a continuity event, continuity personnel and other special categories of employees will be activated by an agency to perform their assigned response duties. An agency must ensure that its human capital strategies for all personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are regularly reviewed and updated, as appropriate.

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| **38a. Includes procedures for the dismissal of employees and/or closure of the facility following an emergency impacting the facility.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **38b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **39a. Designates continuity staff and other special categories of employees and their roles and responsibilities.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **39b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **40a. Includes procedures for non-continuity staff and non-special categories of employees are identified.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **40b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **41a. Includes agency guidelines for communicating to/from employees following an emergency; includes telework.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **41b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Essential Records Management**

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

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| **42a. Essential emergency operating plans, including order of succession, delegations of emergency authorities, staffing assignments, and policy or procedural records are identified and protected.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **42b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **43a. Essential legal and financial records, such as accounts receivable, contracting and acquisition files; official personnel files and records, Social Security, payroll, retirement, medical insurance records; property management records, and inventory records are identified and protected.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **43b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **44a. Provisions for classified or sensitive records and databases are included.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **44b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **45a. Procedures for data and data systems backup and restoration are included.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **45b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **46a. Location and accessibility of essential records are identified and tested.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **46b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Test, Training, and Exercises**

An effective Test, Training and Exercise Program is necessary to assist agencies to prepare and validate their organization's continuity capabilities and program. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event. Tests and exercises serve to assess, validate, and identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing

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| **47a. Plans include annual individual and team training of agency continuity emergency personnel.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **47b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **48a. Plans include annual agency testing and exercising of continuity plans and procedures.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **48b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **49a. Plans include quarterly testing of emergency alert and notification procedures.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **49b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **50a. Plans include refresher orientation for Continuity staff.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **50b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **51a. Plans include inter-agency exercising of Continuity plans where applicable and feasible.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **51b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Devolution of Control and Direction**

Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions from either the agency's primary or alternate facilities. Devolution planning also addresses notice and no notice events. A continuity plan's devolution option should be developed so that it addresses how an agency will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the agency's alternate facility is not available.

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| **52a. Identifies the likely triggers that would initiate or activate the devolution option.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **52b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **53a. Specifies how and when direction and control of agency operations will be transferred to the devolution site.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **53b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **54a. Lists necessary resources (people, equipment, and materials) to facilitate the ability to perform essential functions at the devolution site.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **54b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **55a. Establishes capabilities to restore or reconstitute agency authorities to their pre-event status upon termination of devolution.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **55b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Reconstitution/Recovery Operations**

Agencies must identify and outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.

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| **56a. Provides an operational plan to transition from continuity status to an efficient normal operational status once a threat or disruption has passed.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **56b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **57a. Includes coordination and pre-planned options for reconstitution of the agency (options to include movement from the devolution location back to headquarters or a new operating site if necessary)** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **57b. Where addressed in plan or corrective action if not addressed in plan:** | |
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| **58a. Outlines procedures necessary to affect a smooth transition from the relocation site to a new or restored headquarters.** | |
|  | Yes – Element is Addressed in the plan (pg. number) |
|  | No – Element is NOT Completely Addressed in the Plan (Corrective Action) |
| **58b. Where addressed in plan or corrective action if not addressed in plan:** | |
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**Signature Page**

The Secretary and/or Director and Continuity Planning Coordinator will certify with their signatures that the organization has completed an evaluation of their Continuity Plan and documented its status as it relates to the requirements of the program.  
  
Please either use your agencies standard signature page or the templet signature page located [here](https://www.caloes.ca.gov/wp-content/uploads/Preparedness/Documents/CPAT-Signature-Page.pdf).

Please attach a PDF of a signed Signature Page.  
  
When attaching a signed signature page, please be sure to join all files together into one **PDF if they are not already one document. Limit 10MB total file size. \***

**Thank You**

Thank you for completing the annually required Continuity Program Assessment Tool. Cal OES and those who live in California appreciate your hard work and dedication to resiliency.  
  
Next, you will receive an email after submitting the assessment. The email will contain:  
  
-A letter confirming your organization's submittal of the completed CPAT Self-Assessment, along with a copy of the Continuity Plan assessed.  
-A CPAT Assessment Scoring outlining areas in need of improvement within your continuity program or plans. This is a great tool for engaging leadership and defining your organization's next steps.  
-A copy of your CPAT Submitted Responses.  
  
If you do not receive a confirmation email within an hour of submitting your CPAT, please contact our Continuity Team at [Continuity@caloes.ca.gov](mailto:continuity@caloes.ca.gov?subject=CPAT%20Contact)  
  
For specific guidance, resources, and to review additional Continuity training and workshops visit the [CalOES Continuity Planning webpage.](https://https/www.caloes.ca.gov/office-of-the-director/operations/planning-preparedness-prevention/planning-preparedness/continuity-planning/)

**Your Feedback**   
  
This is a new assessment tool. We are constantly working on improving this tool. If you wish to provide feedback we appreciate it. Feedback can be provided [HERE](https://app.smartsheet.com/b/form/68cbf6a746f24135921635eb97cef3b5)  
  
Click <*Submit>* below.