

Continuity Assessment Tool (CAT) Review



Student Introductions

- Name
- Organization
- Greatest need from this workshop
- Experience with continuity



Administrative Information



Course Goal

- The goal of this course is to provide students with an overview to the continuity assessment tool



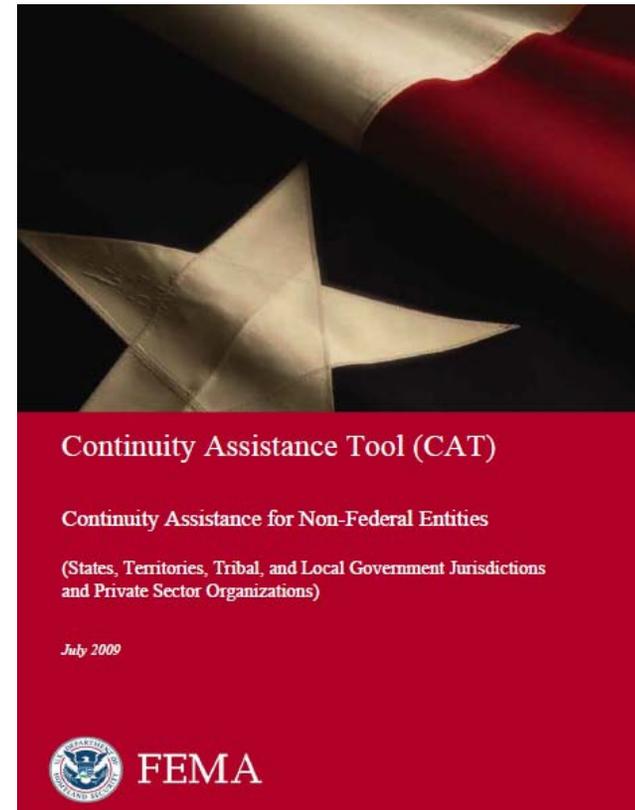
Course Agenda

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



Continuity Assistance Tool (CAT)

- Ensure organizations meet continuity requirements and guidelines.
- Serve as an assessment tool to evaluate continuity programs and plans.
- Identify areas of strength and areas of improvement within a continuity program.



CAT use in this course

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



Benefits of the CAT

- Allows for comprehensive continuity program review.
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- Provides program orientation for new staff members and leaders.
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About the CAT

- Designed to guide the operational readiness and capabilities of organizations to help ensure the performance of Essential Functions and services under any circumstance.
- The tool is divided into two continuity categories:
 - Elements of a Viable Continuity Capability and
 - Continuity Program Foundation.
- These categories are further grouped into Continuity Management Functions (CMF) that describes specific key components of continuity. Allows for comprehensive continuity program review.

Elements of a Viable Continuity Capability

Continuity Guidance Circular 1 describes ten elements to establish and maintain a comprehensive and effective continuity capability.

The ten elements of a viable continuity capability are:

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



Continuity Program Foundation

- 2.1 Program Plans and Procedures
- 2.2 Risk Management
- 2.3 Budgeting and Acquisition of Resources
- 2.4 Continuity Plan Operational Phases and Implementation

Importance of Evaluations (1 of 2)

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

Importance of Evaluations (1 of 2)

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

Definition of Continuity (1 of 2)

What is continuity?



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Definition of Continuity (1 of 2)

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



Importance of Continuity Planning (1 of 2)

Why is continuity planning important?

Importance of Continuity Planning (2 of 2)

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

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



Case Study: Joplin, MO Tornado

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

Case Study: Hurricane Katrina

- 83 General Services Administration-owned and -leased buildings damaged in Louisiana, Alabama, and Mississippi.
- 2,600 Federal employees from 28 agencies relocated.
- Damaged buildings included:
 - Social Security Administration.
 - Federal Bureau of Investigation and Drug Enforcement Administration.
 - Internal Revenue Service.
 - U.S. Court of Appeals (Fifth Circuit).

Questions?



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Break



CAT Tips...

- The CAT questions are subjective in nature.
 - Therefore, it is reasonable to expect some variability from organization to organization when characteristics are reviewed. This flexibility is acceptable, since no two organizations' continuity programs are identical.
- Continuity of Operations Excellence Series
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<http://www.fema.gov/about/org/ncp/index.shtm>.



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CAT Plan Review and Evaluation

Step 1: Continuity manager meets with functional representatives (IT manager, HR manager, Security managers, etc.) to review the CAT.

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

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

CAT Plan Evaluation and Review

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

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

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

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



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Continuity Management Functions for CAT

For further information, please refer to CGC-1.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

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

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



CAT Process –

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

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

CAT Process –

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

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

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

CAT Process –

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

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

CAT Process –

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

CAT Process –

2. CONTINUITY PROGRAM FOUNDATION

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

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



CAT Process –

2.3 BUDGETING AND ACQUISITION OF RESOURCES - The budgeting and planning process can help organizations provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.

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



CAT Plan Review and Evaluation

Answer each characteristic “Yes”, “No”, or “Not Applicable” (N/A).

Flexibility is built into the assistance tool. Therefore, “Not Applicable” (N/A) may be used for those characteristics that do not apply.

- Document where you found the information (i.e. page number, Annex, etc.)
- Use complete sentences
- Avoid using department or agency specific acronyms
- If a task is rated a no, include a recommendation



CAT Plan Review and Evaluation

Example: Essential Functions Assessment

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

CAT Plan Review and Evaluation

Example: Essential Functions Assessment

1.1.1	Identify and prioritize all Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.
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- *Comments: The (Agency Name) essential functions are found of Pages A-1 and A-2 of the continuity plan.*

CAT Plan Review and Evaluation

Example: Continuity Facility Assessment

1.4.1.1	Does the organization identify and maintain at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the organization's ability to initiate and sustain operations is minimized? [CGC Annex G, Page G-1].
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- *Comments:*

CAT Plan Review and Evaluation

Example: Continuity Facility Assessment

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- *Comments: Page F-1 identifies the DOR alternate facility, the X2 Complex.*

Questions?



Break



Activity: Essential Functions Assessment

Instructions: Read Annex A within the sample plan.

Review the sample plan's section on essential functions and complete the applicable portion of the CAT, to determine whether the sample plan is sufficient or contains areas for improvement.

Complete questions 1.1.1.1 through 1.1.4.3 of the CAT.

You have 15 minutes to complete this activity.

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



Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.1.1 (Page 1)	Has the organization identified its Essential Functions and documented them in its continuity plan?	
1.1.1.2 (Page 1)	Has the organization documented all of the requirements and procedures needed to perform essential functions, such as the establishment of contingency plans in the event that key resources are not available?	

Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.1.1 (Page 1)	Has the organization identified its Essential Functions and documented them in its continuity plan?	The DOR essential functions are found on Pages A-1 and A-2 of the continuity plan.
1.1.1.2 (Page 1)	Has the organization documented all of the requirements and procedures needed to perform essential functions, such as the establishment of contingency plans in the event that key resources are not available?	The BPA and BIA for the essential function assigned to the Office of the Director is found in Annex A. These documents include requirements and reference an SOP. However, the SOP is not included and the requirements listed are very general.

Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.1.3 (Page 1)	Does the organization review its Essential Functions to determine those directed by applicable laws and statutory authorities?	
1.1.1.4 (Page 2)	Has the organization conducted a Business Process Analysis (BPA) to determine the Essential Functions that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?	

Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.1.3 (Page 1)	Does the organization review its Essential Functions to determine those directed by applicable laws and statutory authorities?	Page A-1 states that DOR's functions reflect those directed by applicable laws, presidential directives, executive orders, and other directives. However, the BPA does not indicate if DOR actually reviewed laws and authorities.
1.1.1.4 (Page 2)	Has the organization conducted a Business Process Analysis (BPA) to determine the Essential Functions that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?	The BPA for the essential function for the Office of the Director is found on Page A-3. DOR divisions are responsible for maintaining the BPA documentation for their respective essential functions and DOR should confirm this is done.



Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.2.1 (Page 3)	Has the organization conducted a BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function?	
1.1.2.2 (Page 3)	Has the organization head or designee validated and approved the identified Essential Functions?	
1.1.2.3 (Page 3)	Has the organization head or designee validated and approved the BPA?	



Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.2.1 (Page 3)	Has the organization conducted a BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function?	The BPA for the essential function for the Office of the Director is found on Page A-3. However, the data included in the BPA is very general and does not provide detailed information that would better inform and prepare DOR.
1.1.2.2 (Page 3)	Has the organization head or designee validated and approved the identified Essential Functions?	The DOR Director has approved the DOR continuity plan, which includes the essential functions for all divisions and the BPA for the Office of the Director. DOR must confirm the BPAs for other divisions are approved.
1.1.2.3 (Page 3)	Has the organization head or designee validated and approved the BPA?	



Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.2.4 (Page 3)	Has the organization determined the Essential Functions that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	
1.1.3.1 (Page 4)	Has the organization identified how each Essential Function is performed and executed, using a business-process flow map?	

Activity: Essential Functions Assessment

CAT #/ Page #	CAT Task Wording	Answer/Talking Points
1.1.2.4 (Page 3)	Has the organization determined the Essential Functions that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	Several DOR divisions have prioritized their essential functions, but others have not. No DOR essential functions have recovery time objectives associated with the function.
1.1.3.1 (Page 4)	Has the organization identified how each Essential Function is performed and executed, using a business-process flow map?	The DOR annex does not provide a business flow map to identify how the essential function is performed.

Activity: Essential Functions Assessment



Activity: Continuity Facilities

INSTRUCTIONS: Follow the steps below to complete this activity:

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

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

Skip the following questions: 1.4.1.5 through 1.4.1.8.

You have 20 minutes to complete this activity.

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



Activity: Continuity Facilities



Activity: TT&E

INSTRUCTIONS: Follow the steps below to complete this activity:

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

If you work for a non-Federal organization, complete questions 1.8.1.1 through 1.8.4.9 of the CAT.

You have 20 minutes to complete this activity.

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



Activity: TT&E

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Further Questions....

Contact:

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