Policy & Procedure

DRCOG
DENVER REGIONAL COUNCIL OF GOVERNMENTS
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Approved: _____ *Executive Director*

Subject: **DRCOG Business Continuity Plan**

Effective Date: **Enter Date Here** _____   Questions: **IT Manager Ext 6722** _____

DRCOG Business Continuity Plan

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Table of Contents

1.0 Declaration Statement

The *Denver Regional Council of Governments* (*DRCOG*) mission is to *serve as a planning organization where local governments collaborate to establish guidelines, set policy, and allocate funding in the areas of Transportation and Personal Mobility, Growth and Development, and Aging and Disability Resources*. To accomplish this mission, *DRCOG* must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the *DRCOG* Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key *DRCOG* personnel who are relocated under this plan are collectively known as *Emergency Continuity Personnel.* Upon plan activation, the *Emergency Continuity Personnel* will deploy to:

Callahan Partners
1560 Broadway
Denver, Colorado 80202

Upon arrival, *Emergency Continuity Personnel* will establish an operational capability and perform essential functions within 12 hours from the time of the activation of the DRCOG Business Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

This plan is developed in accordance with guidance in the *National Continuity Policy Implementation Plan*; Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013; Continuity Guidance Circular 2 (CGC 2), and *Continuity Guidance for Non-Federal Governments,* dated October 2013.

2.0 Annual Review

Once a year, the Administrative Officer reviews the DRCOG Business Continuity Plan, along with the components and supporting elements, and makes any required updates or changes.

3.0 DRCOG Business Continuity Plan Binder

The *DRCOG Business Continuity Plan Binder* is a collection of documents related to the overall DRCOG Business Continuity Plan. The binder consists of this document as well as a number of other documents mentioned throughout the Business Continuity Plan. This was done to make it easier to keep the continuity plan up to date with current information.

The binder is available on Cognizance in PDF format. Additionally, each DRCOG staff member is issued two printed copies of the DRCOG Business Continuity Binder; one to keep at their desk and one to keep at their home.

The *DRCOG Business Continuity Plan Binder* contains the following documents:

Document Name	Description
DRCOG Business Continuity Plan	Main document for the business continuity plan.
BCP Communications Procedure	Defines how internal and external communications are handled during a continuity event.
BCP Team Member Acknowledgement Form	Acknowledgement form for Business Continuity team members.
BCP Essential Positions and Personnel Roster	Identifies the staff positions and personnel to relocate during a Continuity Plan activation.
BCP List of Nearby Hotels	Provides a source for identifying and contacting hotels close in proximity for staff to use during a continuity event.
BCP Map and Directions	Provides a map showing the location of and directions to the DRCOG continuity facility.
BCP Memo of Understanding	Formal bilateral agreement between DRCOG and the continuity facility.
BCP Orders of Succession	Establishes a succession of authority in the event of a disruption that may limit the ability of management to execute his or her duties.
BCP Record of Continuity Event	A form filled out to record specific information about a continuity event.
BCP Roles and Responsibilities	Defines the various leadership responsibilities of DRCOG's overall business continuity plan. It also summarizes the roles and responsibilities of the various members before, during, and after a continuity event.
BCP Training Log	A form filled out to record the names of staff members attending training sessions.
BCP Vendor List	Listing of critical vendors and their contact information.

4.0 Purpose, Scope, Situations, and Assumptions

4.1 Purpose

To accomplish the *DRCOG* mission, *DRCOG* must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the *DRCOG* Business Continuity Plan to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the *DRCOG* mission, personnel, and facilities.

The overall purpose of continuity planning is to ensure the continuity of the essential functions under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity capabilities and plans that enable organizations to continue their essential functions in an all-hazards environment and across a spectrum of emergencies. These conditions have increased the importance of having continuity programs that ensure continuity of essential functions across all levels of DRCOG.

4.2 Scope

This Continuity Plan applies to the functions, operations, and resources necessary to ensure the continuation of *DRCOG*'s essential functions in the event its normal operations at 1290 Broadway, Denver, Colorado are disrupted or threatened with disruption. This plan applies to all *DRCOG* personnel at 1290 Broadway. *DRCOG* staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures *DRCOG* is capable of conducting its essential missions and functions under all threats and conditions, with or without warning.

4.3 Planning Assumptions

This Continuity Plan is based on the following assumptions:

- An emergency condition may require the relocation of *DRCOG*'s *Emergency Continuity Personnel* to the continuity facility at:

  Callahan Partners
  1560 Broadway
  Denver, Colorado 80202

- The continuity facility will support the *Emergency Continuity Personnel* and the continuation of essential functions by available communications and information systems within 12 hours from the time the Continuity Plan is activated, for potentially up to a 30-day period or until normal operations can be resumed.

4.4 Objectives

The continuity planning objectives for non-federal agencies are identified in CGC 1, *Continuity Guidance for Non-Federal Governments (States, Territories, Tribal, and Local Government Jurisdictions)*, dated July 2013.

The *DRCOG* continuity objectives are:

1. Ensuring the organization can perform its essential functions under all conditions.
2. Reducing the loss of life and minimizing property damage and loss.
3. Executing a successful order of succession with accompanying authorities in the event a disruption renders DRCOG's leadership unable, unavailable, or incapable of assuming their authorities and performing their responsibilities of office.
4. Reducing or mitigating disruptions to DRCOG's operations.
5. Ensuring there are facilities from where DRCOG staff can perform essential functions.
6. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption.
7. Achieving DRCOG's timely and orderly recovery and restoration from an emergency.
8. Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability.

5.0   Concept of Operations

5.1   Readiness and Preparedness

DRCOG will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazard/threat environment. The *DRCOG* readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

Organization Readiness and Preparedness
DRCOG preparedness incorporates hazard/threat warning systems, which includes horns/strobes, the public address system, and the Civil Defense warning system.

Staff Readiness and Preparedness
DRCOG personnel will prepare for a continuity event and plan in advance for what to do in an emergency. DRCOG personnel will also develop a Family Support Plan to increase personal and family preparedness. The *www.ready.gov* website provides guidance for developing a Family Support Plan and includes a "Get Ready Now" pamphlet that explains the importance of planning and provides a template that can be tailored to meet family-specific planning requirements. Additional information can be found in the *DRCOG Employee Handbook*.

DRCOG Emergency Continuity Personnel will create and maintain drive-away kits. *Emergency Continuity Personnel* are responsible for carrying the kits to the continuity facility or pre-positioning the kits at the continuity facility. A drive-away kit should contain those items listed in the table below. The contents list for the drive-away kits will be audited annually to ensure currency and completeness.

Drive-Away Kit	

• Identification and charge cards
   ○ Organization identification card
   ○ Driver's license
   ○ Organizations travel card
   ○ Health insurance card
• Communication equipment
   ○ Organization cell phone
   ○ Personal cell phone
• Continuity plan document
• Directions to continuity facility
• Maps of surrounding area
	• Medical needs
	   ○ Insurance information
	   ○ List of allergies/blood type
	   ○ Prescription drugs (30-day supply)
	• Emergency phone numbers and addresses (relatives, medical doctor, pharmacist
	• Chargers for phones, laptops, tablets
	• Business and personal contact information
	• Flashlight

In addition, *DRCOG* will conduct orientation training sessions for new staff as well as annual staff orientation training sessions. In addition, senior management will annually address staff regarding the continuity plan.

5.2 Activation

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, *DRCOG* will execute activation plans as described in the following sections.

Decision Process Matrix

Based on the type and severity of the emergency situation, the *DRCOG* Business Continuity Plan may be activated by the Executive Director, the Administrative Officer, or a designated successor, based on an emergency or threat directed at the organization.

Continuity Plan activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of all-hazards/threats that could disrupt operations with or without warning and during work or non-work hours. Continuity Plan activation will not be required for all emergencies or disruptions, since other actions may be more appropriate.

The decision to activate the *DRCOG* Business Continuity Plan and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning. To support the decision-making process regarding plan activation, key organization personnel will use the decision matrix below to support that process.

Decision Matrix		
	Work Hours	*Non-Work Hours*
Event With Warning	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area?	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day?
Event Without Warning	• Is the facility affected? • Are personnel affected? • Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from the building management and/or first responders? • How soon must the organization be operational?	• Is the facility affected? • What are instructions from the building management and/or first responders? • How soon must the organization be operational?

As the decision authority, the Executive Director will be kept informed of the threat environment using all available means, including regional notification systems, local operations and State and local reporting channels and news media. The Executive Director will evaluate all available information relating to:

1. Direction and guidance from higher authorities
2. The health and safety of personnel

3. The ability to execute essential functions

4. Changes in threat advisories

5. Intelligence reports

6. The potential or actual effects on communications systems, information systems, office facilities, and other vital equipment

7. The expected duration of the emergency situation

Alert and Notification Procedures

DRCOG maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

Before an event, *DRCOG* personnel will monitor advisory information, including the Emergency Alert System (EAS). In the event normal operations are interrupted or an incident appears to be imminent, *DRCOG* will take the following steps to communicate the organization's operating status with all staff:

1. The Executive Director or designated successor will notify staff of the emergency requiring Continuity Plan activation

2. Notification will occur in one or more of the following ways:

   a. Recorded message on the main DRCOG phone number

   b. Public address system announcement

   c. DRCOG Intranet (Cognizance)

   d. Twitter

   e. Facebook

   f. DRCOG public website

   g. E-mail messages

   h. Text messages

   i. Individual phone calls

Upon the decision to activate the Continuity Plan, *DRCOG* will notify all staff and visitors as well as affected and interdependent entities with information regarding continuity activation status, operational and communications status, and the anticipated duration of relocation. These entities include:

- Continuity facilities and on-site support teams with information regarding continuity activation, relocation status, and the anticipated duration of relocation

- Governmental agencies DRCOG has a working relationship with

- All *DRCOG* staff with instructions and guidance regarding the continuity activation

Relocation Process

Once the Continuity Plan is activated, the decision to relocate is made, and personnel are notified, *DRCOG* will relocate *Emergency Continuity Personnel* to the *DRCOG* continuity facility. *DRCOG Emergency Continuity Personnel* will deploy/relocate to the

continuity facility to perform *DRCOG*'s essential functions and other continuity-related tasks. A map and directions to the continuity facility is included in the *DRCOG Business Continuity Binder*.

Emergency procedures during work hours with or without a warning will be implemented as follows:

- *Emergency Continuity Personnel* will depart to the designated continuity facility via staff vehicle, private vehicle, public transportation, or walking.
- Non-continuity personnel present will receive instructions from the Executive Director or designee. In most scenarios, non-continuity personnel will be directed to proceed to their homes to wait for further guidance.
- At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the DRCOG facility.

Emergency procedures during non-working hours with or without a warning will be implemented as follows:

- *Emergency Continuity Personnel* will depart to the continuity facility via staff vehicle, private vehicle, public transportation, or walking at the time specified during notification.
- Non-continuity personnel will remain at their residence or current location to wait for further instructions.

Non-continuity personnel may be required to replace or augment *Emergency Continuity Personnel* during activation. These activities will be coordinated by the Executive Director or designee with the replacement staff on a case-by-case basis. Non-continuity personnel will remain available to replace or augment continuity personnel, as required.

In the event of an activation of the Continuity Plan, *DRCOG* may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The Executive Director or designee maintains the authority for emergency procurement.

5.3   Continuity Operations

Upon activation of the Continuity Plan, *DRCOG* will continue to operate at its primary facility until ordered to cease operations by the Executive Director or designee or by building management and/or first responders via e-mail, phone call, PA announcement, or personal visit. At that time, essential functions will transfer to the continuity facility. *DRCOG* should ensure the continuity plan can be operational within 12 hours of plan activation.

As *Emergency Continuity Personnel* arrive, the Administrative Officer or designee will conduct in-processing to ensure accountability. In-processing procedures are conducted at the continuity facility and will include:

- Accounting for who has arrived and who has not
- Contacting individuals who have not arrived

- Identification of all DRCOG leadership available at the continuity facility

Upon arrival at the continuity facility, the *Emergency Continuity Personnel* will:

- Report immediately to the Administrative Officer or designee for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of *DRCOG*'s personnel and resources
- Continue *DRCOG*'s essential functions
- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with *DRCOG*

A requirement of *Emergency Continuity Personnel* is to account for all *DRCOG* personnel. *DRCOG* will use the following to account for all personnel:

- Phone calls
- Visual verification

During continuity operations, *DRCOG* may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The Executive Director or designee maintains the authority for emergency acquisition.

5.4   *Restoration Operations*

Within 24 hours of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the *DRCOG* facility after receiving approval from the appropriate State and local law enforcement, emergency services, or building management:

- The Administrative Officer or designee will serve as the Restoration Manager for all phases of the restoration process
- The Restoration Manager appoints an appropriate number of people to serve on the Restoration Team
- Each *DRCOG* division will designate a restoration point-of-contact (POC) to work with the Restoration Team and to update office personnel on developments regarding restoration and provide names of restoration POCs to the Administrative Officer within 24 hours of the Continuity Plan activation

During continuity operations, the Executive Director should determine the status of the DRCOG facility affected by the event via personal visit or communication with emergency services. Upon obtaining the status of the facility, *DRCOG* will determine how much time is needed to repair the facility and/or acquire a new facility. Should *DRCOG* decide to repair the facility, the Executive Director has the responsibility of

supervising the repair process and should notify the DRCOG Board Officers and Board of Directors of the status of repairs, including estimates of when the repairs will be completed.

Restoration will commence when the Executive Director or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These restoration plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity Plan. Once the appropriate *DRCOG* authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the continuity facility
- Reconstitute the *DRCOG* facility and begin an orderly return to the facility
- Begin to establish a reconstituted *DRCOG* in another facility or at another designated location

Before relocating to the primary operating facility or another facility, the Administrative Officer or designee will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the IT Manager or designee will verify that all systems, communications, and other required capabilities are available and operational and *DRCOG* is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the Executive Director or other authorized person that the *DRCOG* facility can be reoccupied or that *DRCOG* will be reestablished in a different facility:

- The Executive Director or other authorized individual should notify the Board Officers and Board of Directors with information regarding continuity activation status, the *DRCOG* continuity facility, operational and communication status, and anticipated duration of relocation. *DRCOG* shall submit a Continuity Status Update, only if it contains more information beyond what has been reported, to the Board of Directors.
- If a different facility is necessary, the Administrative Officer will develop space allocation and facility requirements.
- The Executive Director will notify all personnel that the emergency or threat of emergency has passed and what actions, if any, are required of personnel in the restoration process.
- The Administrative Officer will coordinate with an applicable facility management group to obtain office space for restoration, if the primary operating facility is uninhabitable.
- The Executive Director or designee will develop procedures, as necessary, for restructuring staff.

Upon verification that the required capabilities are available and operational and that *DRCOG* is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Administrative Officer will begin supervising a return of

personnel, equipment, and documents to the primary facility or a move to a temporary or new permanent facility. *DRCOG* will develop a return schedule and plans based on the incident and facility within 72 hours of plan activation.

DRCOG will continue to operate at its continuity facility until ordered to cease operations by the Executive Director. At that time, essential functions will transfer to the primary facility. *DRCOG* will develop resumption plans based on the incident and facility within 72 hours of plan activation.

The Administrative Officer will identify any records affected by the incident. In addition, the IT Manager will effectively transition or recover essential records and databases, as well as other records that had not been designated as Essential Records. *DRCOG* will develop Essential Records transition and recovery plans based on the incident and facility within 72 hours of plan activation.

When the *Emergency Continuity Personnel*, equipment, and documents are in place at the new or restored primary operating facility, the remaining *DRCOG* staff at the continuity facility will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Administrative Officer will oversee the orderly transition from the continuity facility of all *DRCOG* functions, personnel, equipment, and records to a new or restored primary operating facility. The Administrative Officer will develop a process for receiving and processing employee claims during the continuity event, including processing Human Resources claims (such as Workers' Compensation) and replacing lost or broken equipment.

DRCOG will conduct an After Action Review (AAR) once back in the primary facility or in a new primary operating facility. The Administrative Officer is responsible for initiating and completing the AAR. All divisions within *DRCOG* will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the *DRCOG* corrective action program (CAP), and then develop a remedial action plan as soon as possible after the restoration. The Administrative Officer is responsible for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the IT Manager to ensure an effective transition or recovery of Essential Records, databases, and other records that had not been designated as Essential Records. AAR and CAP documentation are maintained by the Administrative Officer.

6.0 Direction, Control, and Coordination

During activation of the Continuity Plan, the Executive Director maintains responsibility for control and direction of *DRCOG*. Should the Executive Director become unavailable or incapacitated; the organization will follow the directions laid out in the *Orders of Succession* document.

7.0 Disaster Intelligence

During a continuity event, *DRCOG* will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting

requirements, the following table lists examples of the information that would be collected and reported regardless of incident type.

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Personnel Accountability	• Account for all Emergency Continuity Personnel and non-Emergency Continuity Personnel employees • Account for all contract personnel	• Human Resources	• Reports • Briefings	Hourly following plan activation	Executive Director
Operational Status	• Percent of Emergency Continuity Personnel arrived at site • Ability to conduct each essential function	• Continuity Manager • Division Directors	• Situation briefings • Situation reports	No later than 6 hours after plan activation, then hourly	Executive Director
Hazard Information	• Threat details specific to the continuity facility	• Executive Director	• Situation briefings • Situation reports	Two times per day	Executive Director and Division Directors

8.0 Communications

DRCOG has identified available communications systems located at the continuity facility. Further, *DRCOG* maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework.

All *DRCOG*'s necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

Additional detailed information on the *DRCOG*'s communications systems and requirements is found in *Appendix D, Continuity Communications.*

9.0 Budgeting and Acquisition of Resources

DRCOG budgets for and acquires those resources and capabilities essential to continuity operations. Within this budget, *DRCOG* budgets for the acquisition of resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

DRCOG integrates the continuity budget with its long-term strategic plan and links the budget directly to objectives and metrics set forth in that plan.

For those contracts vital to the support of organization essential functions, *DRCOG* has ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions. During an emergency situation, the Administrative Officer is responsible for oversight and handling of emergency work by contractors.

10.0 Plan Development and Maintenance

The Administrative Officer is responsible for maintaining the *DRCOG* Business Continuity Plan.

The Continuity Plan, *DRCOG* essential functions, and supporting activities, will be reviewed by the Administrative Officer and updated annually from the date of publication as part of the maintenance of continuity plans and procedures. The Administrative Officer is responsible for the annual plan review and update. In addition, the plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures.

11.0 Appendices

11.1 Appendix A – Organization Mission Essential Functions

Organization *Mission Essential Functions* (*MEF*s) are a limited set of their organizational functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. *DRCOG*'s *MEF*s are listed below in order of priority:

1. E-mail
2. Accounting
3. Human Resources
4. Public facing website

11.2 Appendix B – Identification of Emergency Continuity Personnel

In order to continue its essential functions, *DRCOG* has determined the staff positions necessary to relocate under Continuity Plan activation. A copy of the current roster is found in the *DRCOG Business Continuity Plan Binder*. The Administrative Officer is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

Each *Emergency Continuity Personnel* member is selected by the Executive Director based upon:

1. The predetermined essential functions that must be performed, regardless of the operational status of DRCOG's facility
2. The member's knowledge and expertise in performing these essential functions
3. The member's ability to rapidly deploy to the relocation site in an emergency situation

11.3 Appendix C – Continuity Facilities

Continuity Facility Information

DRCOG has designated a continuity facility as part of its Continuity Plan and has prepared *Emergency Continuity Personnel* for the possibility of unannounced relocation to the site to continue performance of essential functions.

The *DRCOG* continuity facility is located at:

> Callahan Partners
> 1560 Broadway
> Denver, Colorado 80202

A map of the surrounding area, including directions and route from the primary operating facility, is located in the *DRCOG Business Continuity Plan Binder*.

The *DRCOG* continuity facility provides the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

1. Space and equipment. The continuity facility is able to accommodate 100 personnel.
2. Capability to perform MEFs within 12 hours of plan activation for up to 30 days or until normal operations can be resumed.
3. Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available from the Administrative Officer.
4. Interoperable communications for effective interaction. Additional information on continuity communications is found in this document.
5. Systems and configurations that are used in daily activities. IT support at the continuity facility is available. Details on the systems and configurations are available from the Administrative Officer.

Continuity Facility Logistics

DRCOG's continuity facility maintains pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are included in this document.

DRCOG maintains a transportation support plan that describes procedures for no-warning and with-warning events.

- During a no-warning event, *Emergency Continuity Personnel* are transported to the continuity facility via RTD bus, staff vehicle, personal vehicle, or walking.
- During a with-warning event, *Emergency Continuity Personnel* are transported to the continuity facility via RTD bus, staff vehicle, personal vehicle, or walking.

DRCOG has addressed the need for housing to support *Emergency Continuity Personnel* at or near the continuity facility via a listing of nearby hotels. The listing is located in the *DRCOG Business Continuity Plan Binder*.

Continuity Facility Orientation

DRCOG regularly familiarizes its *Emergency Continuity Personnel* with its continuity facilities. *DRCOG* accomplishes this orientation through annual orientation sessions and briefings. This training is recorded in organization training logs located in the *DRCOG Business Continuity Plan Binder*.

11.4   *Appendix D – Continuity Communications*

DRCOG has identified available communication systems at the continuity facility. Further, *DRCOG* maintains fully capable continuity communications that could support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting telework offices. These systems provide the ability to communicate within and outside the organization.

The following table shows communication systems that support DRCOG's essential functions.

Communication System	Support to Essential Function	Current Provider	Alternate Provider
Cellular Phones	All	Verizon	None
E-mail	All	Microsoft	None
Internet Access	All	Verizon	None

All of *DRCOG*'s necessary and required communications and IT capabilities should be operational within 12 hours of activation.

DRCOG possesses communications capabilities to support the organization's senior leadership while they are in transit to continuity facilities. These capabilities are maintained by the IT department.

11.5   *Appendix E – Leadership and Staff Orders of Succession*

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. *DRCOG* has identified successors for the positions of Executive Director and Administrative Officer. The Administrative Officer is responsible for ensuring orders of succession are up-to-date. When changes occur, the Administrative Officer distributes the changes to the Executive Director and Division Directors via e-mail.

DRCOG's orders of succession are:

- At least two positions deep, where possible, ensuring sufficient depth to ensure *DRCOG*'s ability to manage and direct its essential functions and operations
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by *DRCOG's* legal department as changes occur

The following table shows the orders of succession for *DRCOG:*

Position	Designated Successors
Executive Director	1. Director of Transportation Planning & Operations 2. Administrative Officer
Administrative Officer	1. Executive Director 2. Director of Transportation Planning & Operations

In the event of a change in leadership status, *DRCOG* must notify the successors, as well as internal and external stakeholders. In the event the Executive Director becomes incapable of performing authorized duties, roles, and responsibilities, the DRCOG Board of Directors Chair will initiate a notification of the next successor in line.

The *DRCOG* training records document the annual successor training for all personnel who assume the authority and responsibility of the organization's leadership to include briefing successors to the position of the Executive Director on their responsibilities and duties as a successor. This training is reflected in the *DRCOG* training records located in the *DRCOG Business Continuity Plan Binder*.

11.6   Appendix F – Human Resources

Emergency Continuity Personnel
People are critical to the operations of any organization. Selecting the right people for an organization's staff is vitally important. This is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, *Emergency Continuity Personnel* and other special categories of staff members, if necessary, will be activated by *DRCOG* to perform assigned response duties. With respect to *Emergency Continuity Personnel*, *DRCOG* has:

- Identified and designated those positions and personnel they judge to be critical to organization operations in any given emergency situation as *Emergency Continuity Personnel*. A roster of *Emergency Continuity Personnel* is maintained by the Administrative Officer and is found in the *DRCOG Business Continuity Plan Binder.*

- Identified and documented its *Emergency Continuity Personnel*. *Emergency Continuity Personnel* possess the skills necessary to perform essential functions and supporting tasks.

- Officially informed all *Emergency Continuity Personnel* of their roles or designations by providing documentation to ensure that *Emergency Continuity Personnel* know and accept their roles and responsibilities. Copies of this documentation are maintained by the Administrative Officer and are found in the *DRCOG Business Continuity Plan Binder.*

- Ensured *Emergency Continuity Personnel* participate in the organization's continuity *Test, Training, and Exercise* (TT&E) program, as reflected in training records. Training records are maintained by the Administrative Officer and are found in the *DRCOG Business Continuity Plan Binder*

All Staff

It is important that *DRCOG* keeps all staff, especially individuals not identified as *Emergency Continuity Personnel*, informed and accounted for during a continuity event. *DRCOG* has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

DRCOG's employees are expected to remain in contact with their supervisors during any facility closure or relocation situation.

DRCOG ensures staff are aware of and familiar with Human Resources guidance in order to continue essential functions during an emergency.

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, *DRCOG* will employ a call tree process. Accountability information is reported to the Executive Director at four hour increments. The Administrative Officer and division directors have the responsibility of attempting contact with those individuals who are unaccounted for.

An event that requires the activation of the Continuity Plan may personally affect the *DRCOG* staff. Therefore, the Administrative Officer has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special Human Resources concerns following a catastrophic disaster.

Human Resources Considerations

The *DRCOG* continuity plan and procedures incorporate existing organization-specific guidance and direction for human resources management as defined in the *DRCOG Employee Handbook*. The Administrative Officer has the responsibility for *DRCOG* human resources issues.

The *DRCOG* Continuity Manager works closely with the Administrative Officer to resolve human resources issues related to a continuity event. The Administrative Officer serves as the *DRCOG* Human Resources liaison to work with the Continuity Manager when developing or updating the organization's emergency plans.

DRCOG has developed organization-specific guidance and direction for *Emergency Continuity Personnel* on human resources issues. This guidance is maintained by the Administrative Officer. *DRCOG* has issued continuity guidance for human resources in the following areas:

- Additional staffing
- Work schedules and leave/time off
- Employee Assistance Program
- Special needs employees
- Telework
- Benefits

11.7 Appendix G – Test, Training, and Exercises Program

DRCOG has established a *Test, Training, and Exercises* (TT&E) program to support the organization's preparedness and validate the continuity capabilities, program, and ability to perform essential functions during any emergency. The testing, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving *DRCOG*'s ability to execute the continuity program, plans, and procedures.

- Training familiarizes *Emergency Continuity Personnel* with their roles and responsibilities in support of the performance of an organization's essential functions during a continuity event.
- Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.

In accordance with CGC 1 guidance, *DRCOG* performs TT&E events at regular intervals, as shown in the following table.

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems			X	
Test alert, notification, and activation procedures for all continuity personnel			X	
Test primary and back-up infrastructure systems and services at continuity facilities				X
Test capabilities to perform essential functions			X	
Test plans for recovering critical information systems, services, and data				X
Test and exercise of required physical security capabilities at continuity facilities				X
Test internal and external interdependencies with respect to performance of essential functions			X	
Train *Emergency Continuity Personnel* on roles and responsibilities			X	
Conduct continuity awareness briefings or orientation for the entire workforce			X	
Train organization's leadership on essential functions			X	
Train personnel on all restoration plans and procedures			X	
Allow opportunity for *Emergency Continuity Personnel* to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			X	
Conduct exercise that incorporates the deliberate and preplanned movement of *Emergency Continuity Personnel* to continuity facilities				X
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			X	
Report findings of all annual assessments to the Executive Director			X	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation				X
Test capabilities for protecting classified and unclassified records and for providing access to them from the continuity facility			X	

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities				X
Allow opportunity to demonstrate continuity communications capability			X	
Allow opportunity to demonstrate back-up data and records required for supporting essential functions at continuity facilities are sufficient, complete, and current			X	
Allow opportunity for *Emergency Continuity Personnel* to demonstrate their familiarity with the restoration procedures to transition from a continuity environment to normal activities				X

DRCOG formally documents and reports all conducted continuity TT&E events, including the event date, type, and participants. Documentation also includes test results, feedback forms, participant questionnaires, and other documents resulting from the event. Continuity TT&E documentation for *DRCOG* is managed by the Administrative Officer. Further, *DRCOG* conducts a comprehensive debriefing after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and recommend revisions to the organization's continuity plan.

DRCOG has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. The *DRCOG* CAP incorporates evaluations, AARs (After Action Review), and lessons learned from a cycle of events into the development and implementation of its CAP. The *DRCOG* CAP is maintained by the Administrative Officer.

11.8   *Appendix H – Risk Management*

DRCOG applies a risk-based framework across all continuity efforts in order to identify and assess potential hazards, determine what levels of relative risk are acceptable, and prioritize and allocate resources and budgets to ensure continuity under all manner of incident conditions.

DRCOG has conducted and documented a risk assessment, to include a Business Impact Analysis, against all hazards for all capabilities associated with the continuance of Essential Functions, to include Continuity facilities, personnel, systems, and records. The Risk Management point of contact is the Administrative Officer. The Risk Assessment is updated at least every five years by the Administrative Officer.

DRCOG has developed mitigation plans for specific risks identified in the Business Impact Analysis. These plans provide and implement selected mitigation, prevention, protection, or control measures, to decrease the threat of and impact from identified risks, to include pandemic. The risk mitigation point of contact is the Administrative Officer.

11.9   *Appendix I – Glossary*

Activation – Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered "activated."

Organization Head – The highest-ranking official or a successor or designee who has been selected by that official.

All-Hazards – The spectrum of all types of hazards including but not limited to accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

Alternate Facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. "Alternate facilities" refers to not only other locations, but also nontraditional options such as working at home (teleworking), telecommuting, and mobile-office concepts.

Business Impact Analysis (BIA) – A method of identifying the effects of failing to perform a function or requirement.

Business Process Analysis (BPA) – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent in the execution of a function or requirement.

Communications – Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization.

Continuity – An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.

Continuity Facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation. "Continuity facilities" refers to not only other locations, but also nontraditional options such as working at home (teleworking), telecommuting, and mobile-office concepts.

Continuity of Operations – An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions and Primary Mission Essential Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity Event – Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its essential functions.

Continuity Manager – Coordinates and manages the Emergency Continuity Personnel.

Corrective Action Program – An organized method to document and track improvement actions for a program. The Corrective Action Program (CAP) system is a web-based tool that enables Federal, State, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

Emergency Continuity Personnel – Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations.

Essential Functions – The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions, Primary Mission Essential Functions, and Mission Essential Functions.

Facilities – Locations where an organization's leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities must be able to provide staff with survivable protection and must enable continued and endurable operations.

Interoperable Communications – Communications that provide the capability to perform essential functions, in conjunction with other organizations/entities, under all conditions.

Leadership – The senior decision makers who have been elected (e.g., the President, State governors) or designated to head a branch of government or other organization.

Memorandum of Agreement/Memorandum of Understanding – Written agreement between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

Mission Essential Functions – The limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Orders of Succession – Provisions for the assumption by individuals of organization senior leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Primary Operating Facility – The site of an organization's normal, day-to-day operations; the location where the employee usually goes to work.

Restoration – The process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility.

Risk Analysis – The process by which risks are identified and evaluated.

Risk Assessment – The identification and assessment of hazards.

Risk Management – The process of identifying, controlling, and minimizing the impact of events whose consequences are or may be unknown, or events that are fraught with uncertainty.

Senior Management/Leadership – Executive Director and Division Directors.

Telework – The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

Testing, Training, and Exercises – Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.

Virtual Offices – An environment where employees are not collocated and rely exclusively on information technologies to interact and conduct their work across distance from multiple geographic locations.

Essential Records – Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of Essential Records are (1) emergency operating records and (2) rights and interests records.

11.10 Appendix J – Authorities and References

1. Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.

2. Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013.

3. Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions),* dated September 2013.

4. FEMA Continuity of Operations Plan Template Instructions.

5. FEMA Continuity of Operations Plan Template.

6. FEMA National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, dated November 2010.

11.11 Appendix K – Acronyms

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CGC	Continuity Guidance Circular
ECP	Emergency Continuity Personnel
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
STTEF	State, Territorial, and Tribal Essential Function
TT&E	Test, Training, and Exercise

12.0 Revision History

Date	Revision	Description	Author