



Continuity of Operations for Tribal Governments

Instructor Guide



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TABLE OF CONTENTS

- I. Course Preface**
 - Course Background v
 - Course Goals and Objectives v
 - Course Resources v
 - Acronyms vii

- II. Unit 1: Introductions and Course Overview**
 - Introduction and Overview 2
 - Administrative Information 3
 - Student Introductions 4
 - Course Purpose and Objectives 5
 - Course Agenda 7
 - Course Materials 9
 - Summary and Transition 11

- III. Foundation – Continuity of Operations**
 - Unit Introduction and Overview 12
 - What is Continuity of Operations? 14
 - Legal Basis for Continuity 20
 - Continuity Capability 24
 - Objectives of Continuity Planning 33
 - Activity: Benefits of Continuity Planning 37
 - Summary and Transition 40

- IV. Unit 3: Essential Functions**
 - Unit Introduction and Overview 41
 - What is an Essential Function? 42
 - Essential Function 43
 - Government Partnerships 47
 - What is Business Process Analysis and Business Impact Analysis? 50
 - Activity: Identifying and Prioritizing Essential Functions 53
 - Summary and Transition 63

- V. Unit 4: Orders of Succession**
 - Unit Introduction and Overview 64
 - What is an Order of Succession? 65
 - Orders of Succession 66
 - Activity: Determining Orders of Succession 73
 - Summary and Transition 77



VI. Unit 5: Delegations of Authority
 Unit Introduction and Overview 78
 What are Delegations of Authority? 79
 Delegations of Authority 80
 Activity: Identifying Critical Delegations of Authority 87
 Summary and Transition 90

VII. Unit 6: Continuity Facilities
 Unit Introduction and Overview 91
 What are Continuity Facilities? 92
 Continuity Facilities 93
 Selecting Continuity Facilities 94
 Acquiring Space 97
 Hot, Warm, or Cold Facilities 99
 Activity: Supporting Continuity Facilities 100
 Summary and Transition 103

VIII. Unit 7: Continuity Communications
 Unit Introduction and Overview 104
 What are Continuity Communications? 105
 Continuity Communications 106
 Activity: Defining Communications Needs 111
 Summary and Transition 114

IX. Unit 8: Vital Records
 Unit Introduction and Overview 115
 What are Vital Records? 116
 Vital Records 117
 Identifying and Safeguarding Vital Records 118
 Components of an Effective Vital Records Program 123
 Establishing a Vital Records Program 129
 Activity: Supporting Vital Records 131
 Summary and Transition 134

X. Unit 9: Human Capital
 Unit Introduction and Overview 135
 What is Human Capital? 136
 Human Capital 137
 Human Capital and Continuity 138
 Activity: Supporting Human Capital 143
 What is Telework? 145
 Summary and Transition 152



XI. Unit 10: Test, Training and Exercises
 Unit Introduction and Overview 153
 What is TT&E?..... 154
 Tests, Training and Exercises..... 155
 Tests..... 159
 Training 160
 Exercises 161
 Structuring the TT&E Program 164
 Summary and Transition 168

XII. Unit 11: Devolution of Control and Direction
 Unit Introduction and Overview 169
 What is Devolution? 170
 Devolution Planning 171
 Activity: Devolution Planning 176
 Summary and Transition 179

XIII. Unit 12: Reconstitution Operations
 Unit Introduction and Overview 180
 What is Reconstitution? 181
 Reconstitution Operations..... 182
 Implementing the Reconstitution Plan 184
 Summary and Transition 187

XIV. Unit 13: Plans, Programs and Procedures
 Unit Introduction and Overview 188
 The Purpose of Continuity Planning..... 189
 The Continuity Planning Model..... 191
 Summary and Transition 194

XV. Unit 14: Risk Management
 Unit Introduction and Overview 195
 What is Risk Management?..... 196
 Risk Management 197
 Risk Management Cycle..... 198
 Summary and Transition 206

XVI. Unit 15: Budgeting and Acquisition of Resources
 Unit Introduction and Overview 207
 Why is Budgeting and Acquisition Important to Continuity of Operations? 208
 Continuity Program Budgeting 209
 Summary and Transition 213



XVII. Unit 16: Continuity Plan Operational Phases and Implementation

Unit Introduction and Overview 214
 What are Implementation Procedures? 215
 Implementation Procedures 216
 Four Continuity Operational Phases 217
 Why are Continuity of Operations Procedures so Important? 222
 Summary and Transition 240

XVIII. Unit 17: Course Summary

Unit Introduction and Overview 241
 Lessons Learned 242
 Identifying Your Continuity Capability (T-CAT) 243
 Continuity of Excellence Credentialing 244
 Continuity of Operations Training 245
 Next Steps 246
 Final Thoughts and Questions 247
 Course Hot Wash 248
 Course Adjournment 249

Appendix A: Delivering Effective Training

Unit Introduction and Overview A-2
 What You Will Learn A-3
 Cross Cultural Training Issues A-8
 Adult Learner Characteristics A-9
 Activity: Understanding Your Audience A-19
 Making Presentations A-24
 Using Training Media A-37
 Putting Yourself at Ease A-41
 Facilitating Discussions A-44
 Managing the Classroom A-54
 Activity: Putting It All Together A-64
 Summary A-67

Appendix B: Job Aids

Benefits of Continuity Planning Worksheet B-1
 Tribal Essential Functions Matrix Worksheet B-2
 Orders of Succession Worksheet B-7
 Delegations of Authority Worksheet B-8



COURSE BACKGROUND

The overall goal for this course is to provide training on Continuity of Operations with a focus on Tribal Governments. Given the current environment in which we live, Continuity of Operations planning has assumed greater importance as a way of ensuring that Federal departments and agencies, as well as State, Territorial, Tribal and local governments, can continue to perform their essential functions in the face of a wide range of emergencies. This course is intended for Tribal governmental personnel who have been assigned the responsibility for managing the continuity planning process.

While this course has been designed to encourage interaction, the instructor must be fully prepared to lecture, lead discussions, facilitate activities, answer questions, and interact effectively with the students. Thorough preparation for this course is essential and will require that you review all of the course materials carefully before training.

COURSE GOAL AND OBJECTIVES

The overall goal for this course is to enable the students to function as supervisors in an ICS environment. At the end of this course, the students should be able to respond to an incident scenario to:

- Define Continuity of Operations.
- Explain why Continuity planning is important for tribal governments.
- Identify the elements of a viable Continuity of Operations capability.
- Identify the processes, resources, and tasks necessary to implement a successful Continuity of Operations program.
- Teach this course to others.

COURSE RESOURCES

There are four main resources for this course:

- This Instructor Guide (IG)
- The Student Manual (SM)
- The PowerPoint presentation with notes and video
- Continuity of Operations for Tribal Governments CD

These documents are described below and on the following pages. Be sure to familiarize yourself with all course materials before training this course.

The Instructor Guide (IG). This IG is the primary document that you will use to prepare for and present the training. It contains all of the content and exercises that you should incorporate into the training. The IG also includes text-only versions of all the visuals that you will use during the training.

The Student Manual (SM). The SM is the students' resource during the training. It includes all of the information that is presented during the training. The SM organization parallels that of



the IG. You will need to reproduce multiple copies of the Student Manual and job aids for the class before the training begins.

MS PowerPoint Presentation Slides with video. The entire course is presented utilizing the MS PowerPoint presentation slides. The presentation has the instructor’s notes available with each slide. A short Continuity of Operations Tribal Government video file is hyperlinked to the presentation. The video must be on the same drive/directory as the presentation.

Delivering Effective Training MS PowerPoint Presentation (Appendix A). Appendix A is included as a separate training presentation.

Continuity of Operations for Tribal Governments CD. A CD has been included with the course materials so that you can print the course materials, job aids, or other references. The CD includes four types of files: MS Word, MS PowerPoint, AVI, and PDF.



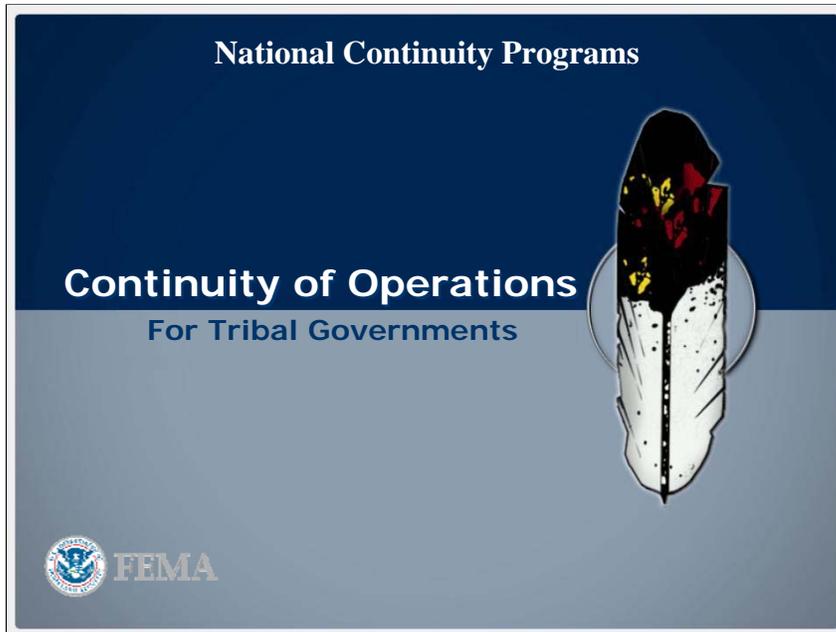
ACRONYMS

The following list of acronyms is provided for Continuity of Operations programs.

AAR	After-Action Report
CAP	Corrective Action Program
CET	Continuity Evaluation Tool
CIKR	Critical Infrastructure and Key Resources
CIP	Critical Infrastructure Protection
CGC	Continuity Guidance Circular
COG	Continuity of Government
COOP	Continuity of Operations
CWG	COOP Working Group
DHS	Department of Homeland Security
DSCA	Defense Support to Civil Authorities
EAS	Emergency Alert System
EF	Essential Function
EOC	Emergency Operations Center
ERG	Emergency Relocation Group
ERS	Emergency Relocation Site
FCO	Federal Coordinating Officers
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
FOUO	For Official Use Only
FE	Functional Exercise
FSE	Full-Scale Exercise
GSA	General Services Administration
HR	Human Resources
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSIN	Homeland Security Information Network
HSPD	Homeland Security Presidential Directive
HQ	Headquarters



IT	Information Technology
MEF	Mission Essential Function
MERS	Mobile Emergency Response Support
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MYSPMP	Multi-Year Strategy & Program Management Plan
NARA	National Archives and Records Administration
NAWAS	National Warning System
NCC	National Continuity Coordinator
NCR	National Capital Region
NCP	National Continuity Programs
NCPIP	National Continuity Policy Implementation Plan
NEF	National Essential Function
NIMS	National Incident Management System
NFIP	National Flood Insurance Program
NRF	National Response Framework
NSPD	National Security Presidential Directive
OAD	Office, Administration, and Directorate
OEP	Occupant Emergency Plan
OMB	Office of Management and Budget
OPM	Office of Personnel Management
POC	Point of Contact
PMEF	Primary Mission Essential Functions
STTL	State, Territorial, Tribal, and Local
TT&E	Test, Training, and Exercise
TtT	Train the Trainer
TTX	Tabletop Exercise



Instructor Notes

- Coordinate with a representative of the host tribe or another tribal representative to welcome the participants and conduct an opening invocation or offer opening remarks.
- Welcome the students to the Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), National Continuity Programs (NCP) Directorate course – Continuity of Operations for Tribal Governments.
- Introduce yourself and other instructors, providing names, agencies, positions within tribal governments, if applicable, and experience in emergency management and continuity of operations planning.
- Remind the students to either turn off **cell phones** and **paggers** or put them on vibrate.

Note: It is recommended that the entire course be downloaded to the computer desktop to ensure embedded video quality during the presentation.



Introduction and Overview

Unit 1: Introduction and Overview objectives:

- Introduce the instructors and students to each other.
- Provide an overview of the course purpose and objectives.
- Identify Continuity training and credentialing.
- Review the course materials and agenda.



2

Instructor Notes

- Tell the students that in this unit, we will introduce the instructors and students to each other, with each expected to provide a short background statement regarding the individual's experience in emergency management and/or Continuity of Operations.
- This unit will provide an overview of the course and introduce the student to the course materials that will be used throughout the day.
- This unit also will include a video that will set the stage for a thorough discussion of Tribal government Continuity of Operations.
- **Note:** This course is a E-L 548 equivalent and meets the requirements under the Continuity Practitioners Program.

A slide titled "Administrative Information" with a list of items and the FEMA logo. The slide has a light blue background with a dark blue border and a Native American headdress graphic in the top left corner.

Administrative Information

- Daily schedule.
- Restroom locations.
- Breaks and lunch.
- Emergency exit routes.
- Dining facilities.
- Pagers/cell phones.
- Telephone messages.
- Course completion requirements.
- Course evaluation.



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3

Instructor Notes

- Provide the students with the following administrative information for the course:
 - Daily beginning and ending times.
 - Restroom locations.
 - Breaks and lunch.
 - Emergency exit routes.
 - Dining facilities.
 - Pagers/cell phones.
 - Telephone messages.
 - Course completion requirements.
 - Course evaluation.



Student Introductions

Introduce yourself by providing:

- Name
- Tribe.
- Position.
- Expectations



4

Instructor Notes

- Ask the students to introduce themselves by providing:
 - Their names and the Tribal government they are representing.
 - Their roles in Continuity of Operations and/or other related experience.
- **Instructor Note:** During the student introductions, one instructor should take notes on the students' backgrounds and training experience. You will use this information later in the course when assigning small groups and making activity assignments.



Course Purpose

The purpose of this course is to provide Tribal Continuity managers the knowledge and skills necessary to enhance continuity programs and plans.



5

Instructor Notes

- The purpose of this course is to provide the students the knowledge of Continuity of Operations programs and plans and the necessary skills to enhance Tribal government programs and plans.
- All tribal governments regardless of location, size of tribal membership benefit from a fully developed continuity program or plan. This course of instruction describes the elements and components of continuity planning important to establishing and maintaining a viable continuity capability.
- This course can assist tribal governments with establishing or refining the foundation and framework essential to building a comprehensive continuity program.



Course Objectives

- Define Continuity of Operations.
- Explain why Continuity planning is important for Tribal governments.
- Identify elements and components of a viable Continuity of Operations capability.
- Identify processes, resources, and tasks necessary to implement a successful Continuity of Operations program.



6

Instructor Notes

- At the end of this course, the students should be able to:
 - Define Continuity of Operations.
 - Explain the benefits of developing a viable Continuity plan.
 - Identify the elements and components of a viable Continuity capability.
 - Identify the processes, resources, and tasks necessary to implement a successful Continuity program.



Course Agenda – Day 1

UNIT	DESCRIPTION
Unit 1	Introduction and Course Overview <ul style="list-style-type: none">Purpose and ObjectivesBackground of Continuity of Operations
Unit 2	Foundation – Continuity of Operations <ul style="list-style-type: none">Legal Basis and Pillars of Continuity of Operations
Unit 3	Essential Functions
Unit 4	Orders of Succession
Unit 5	Delegations of Authority
Unit 6	Continuity Facilities
Unit 7	Continuity Communications
Unit 8	Vital Records
Unit 9	Human Capital
Unit 10	Tests, Training, and Exercises



7

Instructor Notes

- Refer the students to the agenda in the Student Manual (or separate agenda handout).
- Using the agenda as a guide, review the course contents with the group.



Course Agenda – Day 2

UNIT	DESCRIPTION
Unit 11	Devolution of Control and Direction
Unit 12	Reconstitution Planning
Unit 13	Program, Plans and Procedures
Unit 14	Continuity Risk Management <ul style="list-style-type: none">▪ Risk Management Cycle
Unit 15	Continuity Program Budgeting <ul style="list-style-type: none">▪ Why is Budgeting and Acquisition Important?
Unit 16	Continuity Plan Operational Phases and Implementation <ul style="list-style-type: none">▪ Implementation Procedures▪ Four Continuity Operational Phases
App A	Delivering Effective Instruction <ul style="list-style-type: none">▪ Adult Learner Characteristics▪ Using Training Media▪ Facilitating Discussions



8

Instructor Notes

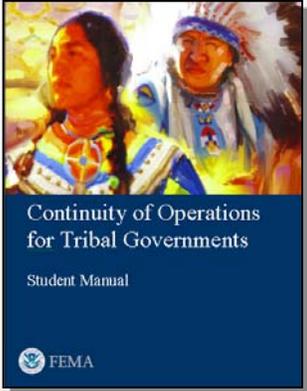


Course Materials

The Student Manual is the students' main reference for the course.

It includes:

- All course content.
- Activities.
- Job aids.



9

Instructor Notes

- The Student Manual is the students' main reference for the course. The Student Manual includes all course content, including activities and activity aids.
- Students should be encouraged to take notes directly into the Student Manual and refer to it after they have completed the course.
- The color visuals have been developed using Microsoft PowerPoint and are intended to be shown using a computer with a projector. The visuals include all of the text shown in the Instructor Guide, plus graphics and photographs to enhance the slide content.
- Point out that the visuals have been formatted using the slide master. The slide master controls the font, point sizes, bullet style, and tabs. Suggest that if the students need to change any of these items, they do so in the slide master so that the change will occur on all slides.
- Ask if anyone has any questions about the course materials before continuing with this unit.



Summary and Transition

Questions?



10

A presentation slide titled "Summary and Transition" with a large blue speech bubble in the center containing the text "Questions?". The slide features the FEMA logo in the bottom left corner and the number "10" in the bottom right corner. There are also small tribal government logos in the top left and top right corners of the slide area.

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Provided introductions and overview of the Continuity of Operations course.

Next unit:

- Foundations of Continuity of Operations.



11

Instructor Notes

- Summarize by telling the group that this unit has provided introductions of the instructors and students, and have introduced the students to the session objectives.
- This unit also has presented the session materials.
- Transition to the next unit by telling the students that Unit 2 will cover the foundation of Continuity of Operations.



Foundation - Continuity of Operations

Unit 2: Foundation of Continuity of Operations
objectives:

- Develop an understanding of the concepts of Continuity of Operations.
- Develop a firm foundation to prepare for developing or improving Tribal government Continuity of Operations plans, programs and procedures.



12

Instructor Notes

- Introduce this unit by reminding the group that this sections provides an overview of the concepts of Continuity of Operations. Additionally, several key documents are discussed that are important in building continuity plans and programs.



Continuity of Operations Video

- This video depicts a flood on tribal lands that makes the Tribal Council building unusable for at least 30 days.
- The video scenario provides a basis for discussion of upcoming Continuity of Operations topics.

 [VIEW CONTINUITY OF OPERATIONS FOR TRIBAL GOVERNMENTS VIDEO](#)

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13

Instructor Notes

- Click on the visual to play the video, which is an AVI file linked to the presentation.
- The video depicts a flood on tribal lands that makes the Tribal headquarters building unusable for at least 30 days. Running time is approximately 5 minutes.
- Facilitate a class discussion of continuity issues involved in the video scenario, developing a list of issues identified by the participants.
- At the end of this discussion, transition to the session goal and objectives and describe how the issues will be addressed in the course.
- Instructors should download video and course material.



Continuity of Operations

What is Continuity of Operations?

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14

Instructor Notes

- **What is Continuity of Operations?**
- Allow the group time to respond. If not mentioned by the group, define Continuity of Operations as:
The effort within Tribal governments to ensure continuity of their essential functions across a wide range of emergencies and events.



Continuity of Operations

Continuity of Operations planning is simply the good business practice of ensuring the execution of essential functions through all circumstances, and it is a fundamental responsibility of public and private entities responsible to their stakeholders.



15

Instructor Notes

- Reference: Introduction to the Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, and Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*.
- **Instructor Note:** You will be explaining the differences between these two documents later in the presentation.



What Continuity of Operations is Not

Continuity of Operations is not the same as:

- Occupant Emergency Plans (OEPs).
- Continuity of Government Plans (COG).



EMERGENCY EVACUATION ROUTES



16

Instructor Notes

- Point out that part of defining Continuity of Operations requires an explanation of what Continuity of Operations is not.
- Continuity of Operations is not the same as:
 - Occupant Emergency Plans, which address emergencies occurring in or around office buildings. Occupant Emergency Plans—or OEPs—typically include building evacuation and shelter-in-place procedures.
 - Continuity of Government plans—or COG—that address the coordinated effort within each branch of government to manage and coordinate the activities of elements and components to perform essential functions.



Benefits of Continuity Planning

Benefits of Continuity planning:

- Good business practice.
- Enables Tribal governments to continue essential functions.
- Part of the fundamental mission of all Tribal governments.

Continuity Planning defines interdependencies and allows the tribal government to continue to function.



17

Instructor Notes

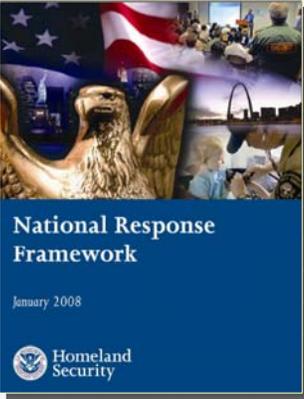
- Point out that preparing for Continuity of Operations in the event of an emergency is a good business practice, because it enables Tribal governments to continue the essential functions that their customers depend on.
- Explain that Continuity planning is part of the fundamental mission of all Tribal governments as responsible and reliable public institutions.
- Emphasize that today's changing threat environment has increased the need for Continuity capabilities and plans.



National Response Framework (NRF)

This National Response Framework (NRF) [or Framework] is a guide to how the Nation conducts all-hazards response.

- It describes specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.



18

Instructor Notes

- **States, Territories, and Tribal Governments have responsibility for the public health and welfare of the people in their jurisdiction.** State, local and tribal governments are closest to those impacted by incidents, and have the lead in response and recovery for their jurisdictions. During response, States play a key role coordinating resources and capabilities throughout the State and obtaining resources and capabilities from other States. States are sovereign entities, and the Governor has responsibility for public safety and welfare of the citizens of the State. While tribal governments, U.S. territories, possessions, and freely associated states, also have sovereign rights, there are unique factors that should be fully understood when working with these entities.
- **TIERED RESPONSE Incidents must be managed at the lowest possible jurisdictional level and supported by additional capabilities when needed.** It is not necessary that each level be overwhelmed prior to requesting resources from another level. Incidents begin and end locally, and most are wholly managed at the local level. Many incidents require unified response from local agencies, NGOs, and the private sector, and some require additional support from neighboring jurisdictions or the State. A small number require Federal support. National response protocols recognize this and are structured to provide additional, tiered levels of support when there is a need for more resources or capabilities to support and sustain the response and initial recovery. All levels should be prepared to respond, anticipating resources that may be required.



Integration of Continuity & Incident Management

Integration of continuity planning with incident management planning and operations include responsibilities delineated in the National Response Framework (NRF) and is linked to an organization's ability to conduct its Essential Functions.



The chart displays five risk levels for terrorist attacks, each with a corresponding color and description:

Risk Level	Description
SEVERE	SEVERE RISK OF TERRORIST ATTACKS
HIGH	HIGH RISK OF TERRORIST ATTACKS
ELEVATED	SIGNIFICANT RISK OF TERRORIST ATTACKS
GUARDED	GENERAL RISK OF TERRORIST ATTACKS
LOW	LOW RISK OF TERRORIST ATTACKS

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19

Instructor Notes

- Integration is especially key for interagency coordination groups that monitor or convene during an incident, such as the DHS National Operations Center (NOC), National Response Coordinating Center (NRCC), and National Infrastructure Coordinating Center (NICC); Joint Field Offices (JFOs); and Regional Response Coordination Centers (RRCC) to name a few.
- The lead agency for these interagency groups must develop and share continuity plans to ensure the group's continued capability regardless of circumstance.





The Legal Basis for Continuity

Continuity of Operations:

- Is a Federal government wide initiative.
- Has its legal basis in National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) and the National Continuity Policy Implementation Plan (NCPIP).
- Ensures performance of essential functions under a broad range of circumstances.




20

Instructor Notes

- Explain that Continuity of Operations:
 - Is a Federal government wide initiative.
 - Has its legal basis in National Security Presidential Directive-51/Homeland Security Presidential Directive -20 (NSPD-51/HSPD-20), *National Continuity Policy*, and the National Continuity Policy Implementation Plan (NCPIP).
 - Ensures that individual Federal Departments and Agencies can continue performing their essential functions to support the Nation under a broad range of circumstances.
- Ask for a show of hands:
 - **How many of you are familiar with NSPD-51/HSPD-20 and the NCPIP?**
- **Instructor Note:** If several students are not familiar with NSPD-51/HSPD-20, ask another student to explain its key requirements. If no one in the class is familiar with the directive, present the following optional content. Emphasize that NSPD-51/HSPD-20 is available at:

<http://www.whitehouse.gov/news/releases/2007/05/20070509-12.html>
- Additionally, remember that this class is for Tribal government students, so be sure and adapt the course examples and refer to Continuity of Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*.




National Continuity Policy

NSPD-51/HSPD-20:

- Was issued in May 2007.
- Applied to all Federal departments and agencies.
- Established a single National Continuity Coordinator (NCC).
- Established National Essential Functions (NEFs).

For Immediate Release
May 9, 2007

National Security and Homeland Security Presidential Directive

NATIONAL SECURITY PRESIDENTIAL DIRECTIVE#SPD-51
HOMELAND SECURITY PRESIDENTIAL DIRECTIVE#HSPD-20

[White House News](#)

Subject: National Continuity Policy

Purpose

(1) This directive establishes a comprehensive national policy on the continuity of Federal Government structures and operations and a single National Continuity Coordinator responsible for coordinating the development and implementation of Federal continuity policies. The policy establishes National Essential Functions, prescribes continuity requirements for all executive departments and agencies, and provides guidance for State, local, territorial, and tribal governments, and private sector organizations in order to ensure a comprehensive and integrated national continuity program that will enhance the resiliency of our national security posture and enable a more rapid and effective response to and recovery from a national emergency.

Definitions

(2) In this directive:

(a) "Category" refers to the categories of executive departments and agencies listed in Annex A to this directive.

(b) "Catastrophic Emergency" means any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

(c) "Continuity of Government" or "COG" means a coordinated effort within the Federal Government's executive branch to ensure that National Essential Functions continue to be performed during a Catastrophic Emergency.

(d) "Continuity of Operations" or "COOP" means an effort within individual executive departments and agencies to ensure that Primary Mission Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.



21

Instructor Notes

- NSPD-51/HSPD-20, *National Continuity Policy*, was issued in May 2007 to establish a comprehensive national policy on the continuity of Federal Government structures and a single National Continuity Coordinator.
- NSPD-51/HSPD-20 establishes National Essential Functions and prescribes requirements for all Federal agencies to ensure a comprehensive and integrated national continuity program.

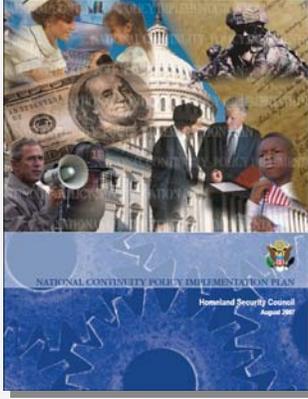




NSPD-51/HSPD-20 Implementation

National Continuity Program Implementation Plan (NCP/IP).

- Directed by the President.
- Was Issued August 2007
- Comprehensive and integrated list of directives for the Federal executive branch.
- Directs that continuity planning occur simultaneously with the development of Federal department and agency programs.




22

Instructor Notes

- The *National Continuity Policy Implementation Plan* builds upon the *National Continuity Policy* and provides guidance to executive departments and agencies on appropriately identifying and carrying out their Primary Mission Essential Functions that support the eight National Essential Functions, which are the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency.
- The *Implementation Plan* also seeks to ensure that our Nation's efforts and resources will be brought to bear in a coordinated manner through integrated Continuity of Operations and Continuity of Government programs interwoven into routine, daily government operations.
- The *Implementation Plan* directs more than 75 critical actions, many of which have been initiated already, to ensure the effectiveness and survivability of our national continuity capability through any circumstance.
- The *Implementation Plan* also articulates a recommitment of focus in the executive branch and highlights the importance of our partnership with the other branches of the Federal Government, other levels of government, and the private sector.



Requirements for Continuity Planning

Continuity plans must:

- Be effective with and without warning.
- Take an all-hazard approach.
- Include continuity facilities.
- Have essential functions operational within 12 hours of activation.
- Be able to sustain operations for 30 days or until normal operations can resume.



23

Instructor Notes

- There are specific requirements when developing a Continuity plan.
- Continuity plans must:
 - Be effective with and without warning.
 - Take an all-hazard approach.
 - Include plans for continuity facilities.
 - Have essential functions operational within 12 hours of activation.
 - Be able to sustain operations for up to 30 days or until normal operations can resume.



Continuity Capability

A Tribal government's continuity capability – its ability to perform its essential functions continuously – rests upon key components or pillars, which are in turn built on the foundation of continuity planning and continuity program management.

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24

Instructor Notes

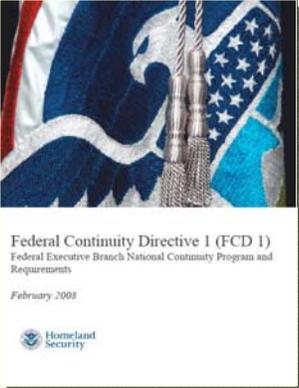
- Before and during an emergency situation that triggers a continuity plan, leaders and staff must be prepared to allocate scarce resources.
- Organizations must identify the people, communications, facilities, infrastructure, transportation, and funding needed to support continuity programs. Those programs must be integrated into the budget process at all levels.
- **Pillars 1 and 2: People – Leadership and Staff.** Continuity of leadership is critical to ensure continuity of essential functions. Organizations must provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal authorities to carry out their duties.
- **Pillar 3: Communications and Technology.** The capability to communicate is critical to daily operations and absolutely essential in a crisis. The Nation's domestic and international telecommunications resources, including commercial, private, and government-owned services and facilities, are essential to support national continuity policy.
- **Pillar 4: Facilities.** Facilities are the locations where Essential Functions are performed by leadership and staff. Organizations should have adequate, separate locations to ensure execution of their functions. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location.



Continuity Guidance Documents

FCD 1 and CGC 1 provide Continuity guidance on:

- Continuity Program Management information.
- Elements and components of a viable continuity capability.
- Coordination of interdependencies.
- Continuity Plan operational phases and implementation.

25

Instructor Notes

- Together, Federal Continuity Directives (FCDs) and Continuity Guidance Circulars (CGCs) form the principal guidance documents for the national continuity programs. FCD 1 is a directive for Federal Executive Department and Agencies. CGC 1 is a guidance document for State, territorial, tribal and local government jurisdictions and private sector organizations.
- A copy of FCD 1 and CGC 1 is included in the references folder of the CD.
- **Instructor Note:** Please clearly point out to the students the differences between these two documents. Point out that the two documents essentially contain the same material; however, each document serves a different purpose, specifically:
 - FCD 1, *Federal Executive Branch National Continuity Program and Requirements*, This Federal Continuity Directive (FCD) provides direction to the Federal executive branch for developing continuity plans. All Federal executive departments and agencies are required to follow the provisions of FCD 1.
 - CGC 1, *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)* is a guidance document to provide direction to non-federal entities for developing continuity plans and programs.



Elements of Continuity Capability

- Essential Functions
- Orders of Succession
- Delegations of Authority
- Continuity Facilities
- Continuity Communications
- Vital Records
- Human Capital
- Test, Training, and Exercise (TT&E) Program
- Devolution of Control and Direction
- Reconstitution Operations



26

Instructor Notes

- FCD 1 and CGC 1 identify ten elements of Continuity and four supporting components of a viable Continuity capability.
- The ten elements of a viable Continuity capability are:
 - Essential Functions
 - Orders of Succession
 - Delegations of Authority
 - Continuity Facilities
 - Continuity Communications
 - Vital Records
 - Human Capital
 - Test, training, and exercises
 - Devolution of Control and Direction
 - Reconstitution Operations
- Addressing each of these elements will be a key part of this course.
- **Instructor Note:** Do not explain the element at this time. Each element is described in detail in subsequent units.



Supporting Components of Continuity

- Program Plans and Procedures.
- Risk Management.
- Budgeting and Acquisition of Resources.
- Continuity Plan Operational Phases and Implementation.



27

Instructor Notes

- FCD 1 and CGC 1 identify the four supporting components of a viable Continuity capability:
 - Program Plans and Procedures.
 - Risk Management.
 - Budgeting and Acquisition of Resources.
 - Continuity Plan Operational Phases and Implementation
- These four components make up the foundation of the continuity program.
- Addressing each of these components will be a key part of this course.
- **Instructor Note:** Do not explain the components at this time. Each component is described in detail in subsequent units.



FEMA's Role in Continuity Programs

- Lead agent responsibilities for Continuity programs and planning in the Federal Executive Branch.
- Responsible for providing continuity guidance to Federal departments and agencies to promote understanding of and compliance with Federal mandates and requirements, and for providing continuity guidance to all State, territorial, tribal and local government jurisdictions and private sector organizations.
- Tribal governments designate their own organizations and members for Continuity planning.
- Each Tribal government develops its own Continuity plan and program.



28

Instructor Notes

- Introduce this topic by explaining that, by Presidential Directive, the Federal Emergency Management Agency (FEMA) has the lead agent responsibilities for Continuity planning within the Executive Branch of government. As such, FEMA is responsible for issuing guidance to promote understanding of and compliance with Federal mandates and requirements.
- FEMA also is responsible for providing continuity guidance to all State, territorial, tribal and local government jurisdictions and private sector organizations.
- Tribal governments designate their own organizations and members for Continuity planning and program management.
- The responsibility for actual Continuity planning lies with each Tribal government.
- FEMA will provide guidance and technical assistance but cannot develop Tribal government Continuity plans.



Need for Continuity Planning

Why does even a small tribal government need a Continuity Plan?

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29

Instructor Notes

- Remind participants of the video that featured a tribe unable to access the Tribal headquarters building because of contamination from flood waters.
- Point out that the tribe in the video was motivated to plan for continuity because valuable resources were threatened.

Ask the group:

- **Why does even a small tribal government with few resources need a Continuity plan?**
- Allow the group to answer. The following reasons will be displayed on the next slide:
 - To avoid interrupting services to members.
 - To protect historical, ancestral, cultural, enrollment, and other vital records from damage or loss.
 - To provide a plan and defined responsibilities so that tribal governments and departments are available under all circumstances to make decisions in emergencies.
 - To protect the tribal government from liability. The tribal government may be legally liable if the safety of tribal membership and visitors to tribal lands is not protected.



Need for Continuity Planning

Even the smaller tribes need continuity planning:

- To avoid interrupting services to members.
- To protect historical, ancestral, cultural, enrollment, and other vital records from damage or loss.
- To provide a plan and defined responsibilities so that a Tribal government's essential functions can be carried out under all circumstances to make decisions in emergencies.
- To protect the Tribal government from liability. The Tribal government may be legally liable if the safety of tribal members and visitors to tribal lands is not protected.



30

Instructor Notes

- Ask the students if they can think of any other reasons for small tribal governments to develop continuity programs.



Need for Continuity Planning

Why do larger tribes with business enterprises need a Continuity plan?

 FEMA

31

Instructor Notes

- Ask the group:
 - **Why do larger tribes with business enterprises need a Continuity plan?**
- Allow the group to answer. The following reasons will be displayed on the next slide:
 - To protect economic interests and investments.
 - To ensure that Tribal government enterprises are positioned to survive disasters of all origins.



Need for Continuity Planning

In addition to the need identified for smaller tribes, larger tribes need continuity planning:

- To protect economic assets, interests and investments of the Tribal government.
- To ensure that Tribal government enterprises are positioned to survive disasters of all origins.



32

Instructor Notes

- Ask the students if they can think of any other reasons for large tribal governments to develop continuity programs.



Objectives of Continuity Planning

Ensure continued performance of essential functions and operations.

- Reduce loss of life.
- Minimize damage and losses.
- Ensure successful succession.



33

Instructor Notes

- Explain that Continuity planning helps to:
 - Ensure continued performance of Tribal government-identified essential functions and operations during a Continuity event, which will:
 - Reduce loss of life.
 - Minimize damage and losses to critical processes and information.
 - Ensure successful succession to office in the event that a disruption renders the Tribal government leadership unavailable to perform their responsibilities.



Objectives of Continuity Planning

- Reduce or mitigate disruptions.
- Ensure the provision of continuity facilities.
- Protect Tribal government assets.



34

Instructor Notes

- Continue describing Continuity planning objectives:
 - Reduce or mitigate disruptions to operations. Anticipate what might occur and plan to deal with it.
 - Ensure that Tribal governments have continuity facilities from which to perform their essential functions during a Continuity event.
 - Protect essential facilities, equipment, vital records, and other assets.
- Stress that all Tribal governments should take necessary actions before the onset of adverse conditions or an emergency to prepare those offices and personnel performing essential operations for the possibility of relocating to alternate operating facilities within 12 hours of activation.



Objectives of Continuity Planning

- Achieve a timely and orderly recovery from Continuity operations.
- Achieve an efficient reconstitution.
- Maintain a test, training, and exercise program to support implementation and validation of Continuity plans.



35

Instructor Notes

- Continue describing Continuity planning objectives:
 - Achieve a timely and orderly recovery from a Continuity situation.
 - Achieve an efficient reconstitution from an emergency and resume full service to both internal and external clients.
 - Maintain a test, training, and exercise program to support the implementation and validation of Continuity plans.
- Simply stated, the objectives of any Tribal government's Continuity plan and initiatives are to protect life and property (including vital information) while, at the same time, supporting customers with essential services until normal operations can resume.



Continuity Manager Responsibilities

The Continuity Program Manager:

- Serves as the Tribal government's Continuity coordinator.
- Is responsible for all activities that enable the Tribal Government to perform essential functions in any situation that would otherwise disrupt normal operations.
- Chairs the Tribal government's internal Continuity Working Group (CWG).



36

Instructor Notes

- Summarize the Program Managers' responses by explaining that the Continuity Program Manager:
 - Serves as the Tribal government's coordinator for continuity of operations.
 - Is responsible for developing, coordinating, and managing all activities to enable the Tribal government to perform essential functions during an emergency or situation that may otherwise disrupt normal operations.
 - Chairs the Tribal government's internal Continuity Working Group (CWG).
- The result of the Continuity Program Manager's effort is "a viable Continuity capability."





Activity: Benefits of Continuity Planning

1. Work in your table groups.
2. Imagine your Tribal Government building was flooded.
3. Answer the questions.
4. Select a spokesperson for the group.
5. Participate in a class discussion.

You will have 10 minutes to complete this activity.


37

Instructor Notes

- **Purpose:** The purpose of this activity is to get the students thinking about the benefits of having a viable Continuity plan for their Tribal governments.
- **Instructions:** Follow the steps below to conduct this activity:
- Assign the students to small groups of five or six.
- Direct the groups to the activity in the Student Manual.
- Tell the students that this activity is intended to get them thinking about the benefits of Continuity planning for their Tribal governments.
- Ask the groups to imagine their Tribal government's headquarters has just been flooded and cannot be occupied for 30 days or longer. There was no loss of life, but the building has suffered substantial damage.
- Answer the **questions** in the Student Manual as a group.
 - What are the negative impacts of the flood on your operations?
 - What essential functions must continue?
 - How will the performance of the essential functions be affected by the flood?
- Tell the groups that they will have 10 minutes to complete this activity.
- While the groups are working, circulate through the room to answer questions and ensure that the groups are on track.
- When all have finished, ask two or three groups to select a spokesperson to present their responses to the class.
 - Facilitate a brief class discussion of the groups' responses. Summarize this activity by drawing from the groups' responses to state the benefits of Continuity planning. Be sure to emphasize that Continuity planning helps to:
 - Maintain safety of and accountability for personnel.
 - Minimize interruptions to essential functions.
 - Protect vital Tribal government assets.
 - Provide for orderly reconstitution of all Tribal government functions.
 - Include other benefits as mentioned by the class (e.g., the information in the Student Manual may be helpful).
- Ask if anyone has any questions before continuing.



Activity: Benefits of Continuity Planning

Purpose To get the students thinking about the benefits of having a viable COOP plan for their Tribal government.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Answer the questions:<ul style="list-style-type: none">▪ What are the negative impacts of the flood on your operations?▪ What essential functions must continue?▪ How will the performance of the essential functions be affected by the flood?3. Select a spokesperson for the group.4. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Benefits Activity Worksheet provided to complete the activity

38

Instructor Notes

- Summarize this activity by drawing from the groups' responses to state the benefits of Continuity of Operations planning. Be sure to emphasize that Continuity planning helps to:
 - Maintain safety of and accountability for personnel.
 - Minimize interruptions to essential functions.
 - Protect vital agency assets.
 - Provide for orderly reconstitution of all agency functions.
- Include other benefits as mentioned by the class.
- For example, explain that Continuity planning helps to:
 - Ensure continued performance of agency-identified essential functions and operations during a Continuity event.
 - Reduce loss of life.
 - Minimize damage and losses to critical processes and information.
 - Ensure successful succession to office in the event that a disruption renders the agency leadership



Summary and Transition

Questions?

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39

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Provided an overview Continuity of Operations.
- Described responsibilities of key personnel.

Next unit:

- Essential Functions.



40

Instructor Notes

- Summarize by telling the group that this unit has introduced and defined Continuity of Operations and described the responsibilities of the Continuity Program Manager and senior leadership.
- Transition to the next unit by telling the students that Unit 3 will cover identifying and prioritizing essential functions.



Essential Functions

Unit 3: Essential Functions objective:

- Identify and prioritize essential functions.



41

Instructor Notes

- Introduce this unit by reminding the group that the first element of a viable Continuity capability is essential functions. Tell the group that at the end of this unit, they should be able to identify and prioritize essential functions.

A presentation slide with a light blue background. At the top, the title "What Is an Essential Function?" is written in a dark blue serif font. Below the title, a large dark blue speech bubble with a white border contains the text "What is an Essential Function?" in white. In the bottom left corner, there is the FEMA logo, which consists of a circular seal with an eagle and the word "FEMA" in blue. In the bottom right corner, the number "42" is displayed in a small font. A decorative feather graphic is also present in the top left corner of the slide.

What Is an Essential Function?

What is an Essential Function?

 **FEMA**

42

Instructor Notes

- **What is an essential function?**
- Allow the group time to respond before displaying the next visual.



Essential Functions

Mission Essential Functions are any Tribal government functions that must be continued throughout, or rapidly resumed after, a disruption of normal activities.




43

Instructor Notes

FCD 1, CGC 1 and the National Continuity Implementation Plan (NCPIP) defines essential functions as those functions that enable an organization to:

- Provide vital services.
- Exercise civil authority.
- Maintain the safety of the general public.
- Sustain the industrial or economic base during an emergency.

In other words, essential functions are a Tribal government’s business functions that must continue with minimal or no disruptions. Essential functions are not the same as a Tribal government’s mission, although some may be developed based on the mission statement. Essential functions must continue even when a Tribal government cannot support its broader mission.

A slide titled "Legal Requirements" with a question in a blue speech bubble. The slide includes the FEMA logo and the number 44 in the bottom left corner.

Legal Requirements

What is an example of an essential function that is required by law?

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44

Instructor Notes

- **What is an example of an essential function that is required by law?**
- Acknowledge the group's responses. If needed, provide the additional examples listed below.
- Tribal Leadership: Carry out a rapid and effective response to all hazards, emergencies, and disasters.
- Tribal Response Officials: Coordinate and interface with Federal, State, Territorial, Tribal and local government emergency management officials, as well as other key officials involved in emergency response.
- **Note**: Have the students representing Tribal governments give examples that refer to Tribal policy and guidance.



Legal Requirements

Tribal governments must determine those functions:

- Explicitly assigned by law or Presidential order.
- Established by the Tribal government's designated official.
- That provide vital support to another Tribal government or other non-Tribal organizations.



45

Instructor Notes

- Any function that is required by law, Presidential directive or guidance should be considered as an essential function.
- Tribal governments must also consider functions established as essential by the Tribal government head, as well as those upon which another organization relies to perform its mission.
- Tell the students that the activity at the end of this unit will allow them to develop Tribal government essential functions.
- **Instructor Note:** Since the students are representing tribal governments, refer them to CGC 1.





Time Sensitivity

Tribal governments must:

- Determine what must be continued with minimal or no interruption in all circumstances.
- Consider those functions that cannot be interrupted for more than 12 hours.
- Plan to continue operations for up to 30 days or until normal operations are resumed.




46

Instructor Notes

- To have a successful Continuity plan, each Tribal government must first determine what its essential functions are by considering its customers and their needs. Assigning a priority to customer needs helps to distinguish between their essential and nonessential needs—and thus, the Tribal government’s essential and nonessential functions.
- When identifying essential functions, Tribal governments must:
 - Determine what must be continued under all circumstances.
 - Consider those functions that cannot be interrupted for more than 12 hours.
 - Tribal governments must be capable of sustaining these essential functions for up to 30 days. (Note that in some types of emergencies, such as a pandemic, essential functions may need to continue for periods that extend well beyond 30 days.)
 - When identifying essential functions, Tribal governments should also consider that essential functions:
 - May support another Tribal government or non-Tribal organization.
 - Can be driven by law, directive or guidance.



Government Partnerships

Continuity cannot occur without the commitment and dedication of many others who play integral roles in ensuring our homeland security. Those partners include the following:

- Federal Government: Legislative Branch, Executive Branch (including all D/As), and Judicial Branch.
- Tribal, State, local and territorial governments.
- Private Sector Critical Infrastructure Owners.


47

Instructor Notes

- The ultimate goal of continuity in the executive branch is the continuation of National Essential Functions (NEFs). In order to achieve that goal, the objective for executive departments and agencies is to identify their Mission Essential Functions (MEFs) and ensure that those functions can be continued throughout, or resumed rapidly after, a disruption of normal activities. While the Federal Government provides myriad services to the American people, it is important to identify those services that must be continued during an emergency.



Ensuring Continuation of EFs

The interdependencies of the key partners and the functions of continuity.

Independent government entities at all levels and individual private sector companies are intimately connected and work together in critical partnership to ensure continuation of essential functions.

Federal Government
Government Functions
MEFs
PMEFs
NEFs

State, Local, Territorial and Tribal Government Private Sector Critical Infrastructure Owners and Operators

48

Instructor Notes

- **Government Functions** are the collective functions of executive departments and agencies as defined by the Constitution, statute, regulation, presidential direction or other legal authority and the functions of the legislative and judicial branches.
- **Mission Essential Functions (MEFs)** are described as the limited set of department- and agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
- **Primary Mission Essential Functions (PMEFs)** are defined as those functions that need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.
- **National Essential Functions (NEFs)**, in accordance with NSPD 51/HSPD-20, the eight NEFs represent the overarching responsibilities of the Federal Government to lead and sustain the Nation and shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency.



Prioritizing Essential Functions

For essential functions, Tribal governments must:

- Prioritize based on the criticality of the function.
- Prioritize against likely Continuity activation protocols, or “triggers”, and scenarios.
- Consider that prioritization may be situation-dependent.



49

Instructor Notes

- Tell the group that after identifying essential functions, they will need to establish priorities. Essential functions should be prioritized:
 - Based on the criticality of the function.
 - Against the likely Continuity activation protocols, or “triggers” (i.e., events or conditions that signal Continuity plan activation), and scenarios..
 - Emphasize that priorities may be situation-dependent
- Point out that the continuance of essential functions will be driven by the availability of:
 - Trained personnel.
 - Vital records and databases.
 - Supplies.
 - Equipment and systems.
- Keep these “drivers” in mind when developing recovery timelines for essential functions.



Functional Processes and Risks

What is Business Process Analysis and Business Impact Analysis?

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50

Instructor Notes

- **Business Process Analysis** – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of a function or requirement.
- **Business Impact Analysis** – A method of identifying the effects of failing to perform a function or requirement.
- FCD 2 and CGC 2 provide information for determining MEFs and PMEFs and the associated processes of conducting a BPA and BIA on those essential functions.



Business Process Analysis

A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of a function or requirement.



51

Instructor Notes

- Tribal Governments should conduct a Business Process Analysis (BPA) for each identified MEF (Normally this activity is led by the Tribal Government Continuity Coordinator and continuity staff). The following are the basic steps of the BPA.
 - **STEP 1:** Outline each MEF in a business process mapping format (i.e., inputs, outputs, resources, systems, facilities, expertise, authorities, etc.) that impact the ability to complete the MEF products/services.
 - **STEP 2:** Identify internal and external interdependencies that are part of and/or influence each MEF business process.
 - **STEP 3:** Ensure that all identified MEF interdependencies are inserted into the proper location within the MEF business process flow.



Business Impact Analysis

- A method of identifying the effects of failing to perform a function or requirement.
- Organizations use a Business Impact Analysis to:
 - Identify potential single points of failure(s) that may adversely affect the execution of Essential Functions;
 - Define the impact of downtime (i.e., impact of delayed recovery of Essential Function execution); and
 - Define potential process alternatives/work-around solutions for Essential Functions execution.

52

Instructor Notes

- **Using identified Essential Functions determine the impact of threats with consideration to all-hazards.**
- Allow the group time to respond. If not mentioned by the group, provide the following examples:
 - The Center for Disease Control (CDC) etiology function will be a much higher priority in the event of a suspected biological attack or a pandemic than for widespread flooding.
 - Disaster Mortuary Operational Response Teams (DMORTs) will be a higher priority following a bombing similar to 9/11 than they would be following a tornado in which few lives are lost.
- **Instructor Note:** Provide other examples or ask the students to provide examples based on the Tribal governments represented by the audience.



Activity: Essential Functions

1. Identify your Tribal government's most critical functions.
2. Write the functions, by priority, on the Essential Functions Matrix Worksheet.

You will have 10 minutes to complete this activity.

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53

Instructor Notes

- **Purpose:** The purpose of this activity is to allow the students an opportunity to begin identifying their Tribal government's essential functions.
- **Instructions:** Follow the steps below to conduct this activity:
 - If possible, assign the students to groups of five or six. If that is not possible, this activity can be completed individually.
 - Direct the students to the blank worksheets provided for this activity.
 - Ask the students to focus on their Tribal governments' essential functions. Acknowledge that they may not have all of the materials needed to develop a complete list.
 - Tell the students to identify their Tribal governments' most critical functions and write them on the handout Essential Functions Matrix Worksheet and in the Student Manual. Show them the sample worksheet found in the next slide. There is also a sample worksheet on the CD that can be used as a handout.
 - Suggest that the students focus on high-impact programs with which their organizations are involved.
 - Remind the students that certain essential functions may not be performed for the duration of COOP operations. Some may be performed immediately, then not at all. Others may not be required initially but may become critical later.
- Tell the students that they will have 10 minutes to identify their essential functions and prioritize them.



Activity: Essential Functions

Purpose To have the students identify and review the potential essential functions of their Tribal government.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Work with your group to complete the Essential Functions Worksheet for your Tribal government.<ul style="list-style-type: none">▪ Add Mission Essential Functions, if needed▪ Why the function was identified as essential.▪ Why the function was assigned its priority.▪ Whether the function retains its priority for the duration of COOP Operations.3. Select a spokesperson for the group.4. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Tribal Essential Functions Worksheet to complete the activity



54

Instructor Notes

- After the students have presented their material to the participants, facilitate a brief discussion of:
 - Add Mission Essential Functions, if needed.
 - Why the function was identified as essential.
 - Why the function was assigned its priority.
 - Whether the function retains its priority for the duration of COOP Operations.



Essential Functions Worksheet

Tribal Essential Functions Matrix Worksheet					
#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Communications Capability
1.	MEMBER SERVICES: Operate community health care clinics <ul style="list-style-type: none"> • Receive patients who are eligible for tribal health care services. • Provide appropriate treatment or referrals. • Maintain medical records. 				
2.	MEMBER SERVICES: Issue member support payments. <ul style="list-style-type: none"> • Maintain membership entitlement records and systems. • Issue scheduled payments. 				
3.	SAFETY AND SECURITY: Provide communications capability for tribal emergency responders. Maintain a communications network that is interoperable among tribal and nontribal local responders. Maintain wireless capability.				

Sample

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55

Instructor Notes

- This is a sample of the Essential Functions Worksheet located on the Course CD. Blank worksheets should be passed out to the students to use during this activity to identify and prioritize essential functions for the Tribal continuity managers.
- Suggest that the students focus on their Tribal government's high-impact programs.
- Remind the students that certain essential functions may not be performed for the duration of the Continuity event. Some may be performed immediately, then not at all. Others may not be required initially but may become critical later.
- While the students are completing this activity, circulate through the room to answer questions and ensure that the students remain focused on essential functions only.
- At the end of the allotted time, ask several groups or students to present their essential functions to the class.
- Facilitate a brief discussion of:
 - Why the function was identified as essential.
 - Why the function was assigned its priority.
 - Whether the function retains its priority for the duration of the Continuity event.
- Point out that this activity has been simplified for the classroom. In reality, identifying essential functions will occur over a period of time and involve personnel from throughout the Tribal government. Emphasize the need to identify all essential functions. Point out that all of the other elements of a viable Continuity capability hinge on the complete and accurate identification of essential functions.
- Ask if anyone has any questions about how to identify and prioritize essential functions.



Staff Support for Essential Functions

Staff support is based on essential functions.

Staff support should include:

- Management teams.
- Response teams.
- Notification personnel.



56

Instructor Notes

- Remind the group that essential functions cannot be continued without adequate staffing.
- Continuity staffing should be based on essential functions and should include management teams, response teams, and notification personnel. Select Continuity personnel based on the number and types of essential functions to be performed and the timeframe in which they must be performed.



Staff Support for Essential Functions

Establish a Continuity roster of personnel who:

- Are properly trained in and credentialed for their Continuity responsibilities.
- Possess the authority to perform the assigned essential function.
- Are capable of serving as a backup for a primary Continuity team member.

57

Instructor Notes

- When selecting personnel for Continuity of Operations, remember that personnel assigned should be experienced and well-versed in the Tribal government's mission and functions. Personnel should also:
 - Be properly trained and credentialed for their Continuity of Operations responsibilities. For example, any essential functions that require a security clearance should be staffed by individuals who have the proper level of clearance and who have been trained in the handling of classified documents and other operational security issues.
 - Possess the authority to perform the assigned essential function. For example, if a specified essential function requires an individual to authorize contracts, that position should be filled by a staff member who has the authority of a primary contracting officer's warrant.
 - Be capable of serving as a backup for other Continuity personnel. This means that individuals should be cross-trained and credentialed, as necessary, in more than one essential function so that essential functions can continue even if the personnel assigned primary responsibility for the function are not available.
- **Instructor Note:** Remind the group that, during Continuity of Operations, the Tribal government will not relocate in its entirety. The Continuity planning team must consider reduced staffing, shift work, or other options for accomplishing its essential functions.
- Facilitate a brief discussion about how to determine initial staffing and how and when to increase staffing over time.



Staff Support for Essential Functions

What else should you consider when determining Continuity of Operations staffing?

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58

The slide features a light blue background with a dark blue header. A large blue speech bubble is centered on the slide, containing the question. The FEMA logo is located in the bottom left corner, and the number 58 is in the bottom right corner.

Instructor Notes

- **What else should you consider when determining Continuity of Operations staffing requirements?**
- Allow the students time to respond before displaying the visual.



Staff Support for Essential Functions

Other considerations for staffing:

- Can the employee work long hours, if necessary?
- Would serving as an emergency response group member cause personal hardship?
- Can the employee remain calm in an emergency?



59

Instructor Notes

- If not mentioned by the group, suggest that other considerations for Continuity staffing include whether:
 - The individual can work the long hours that might be required for Continuity operations.
 - Serving as an emergency relocation group (ERG) member would cause personal hardship (e.g., if the individual has a situation at home that requires his or her attention).
 - The individual can remain calm in an emergency.
- Suggest that the Continuity personnel roster should include additional backup personnel who have the required skills, experience, and credentials required for primary staff.
- Stress that personnel assigned to Continuity roles will need to be trained and equipped for their job responsibilities.
- Remind the group not to forget about notification personnel. Notification personnel should be selected based on their ability to remain calm in an emergency.
- Suggest that prescribed messages be developed for a range of high-risk scenarios, in advance of Continuity activation.

A presentation slide with a light blue background and a dark blue border. At the top left, there is a small decorative feather graphic. The title "Identifying Additional Continuity Issues" is centered at the top in a dark blue serif font. In the center, a large dark blue speech bubble contains the white text "What else should you consider?". At the bottom left, the FEMA logo is displayed, consisting of a circular seal and the word "FEMA" in blue. The number "60" is in the bottom right corner.

Identifying Additional Continuity Issues

What else should you consider?

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60

Instructor Notes

- **What else should you consider when planning to continue essential functions?**
- Allow the group time to respond before displaying the next visual.



Identifying Additional Continuity Issues

Conduct an annual review of essential functions for:

- Mission-critical data.
- Resource requirements.
- Mission change.
- Customer change.



61

Instructor Notes

- If not mentioned by the group, explain that mission-critical data and resource requirements are some of the additional areas to consider.
- Mission-critical data considerations include:
 - Data necessary to continue essential functions.
 - The processes necessary to retrieve vital records and information when deployed.
 - Resource requirements include:
 - Consumable office supplies.
 - Equipment.
- Remind the group that essential functions are the core of the Continuity of Operations mission, and that missions and customers can change. Urge the students to review their Tribal governments' essential functions at least annually.



Summary and Transition

Questions?



62

A presentation slide with a light blue background and a dark blue border. The title "Summary and Transition" is at the top. A large dark blue speech bubble in the center contains the text "Questions?". The FEMA logo is in the bottom left, and the number "62" is in the bottom right. A decorative feather graphic is in the top left corner.

Instructor Notes

- Ask if anyone has questions on anything covered in this unit.



Summary and Transition

This unit:

- Introduced Essential Functions.

Next unit:

- Orders of Succession.



63

Instructor Notes

- Summarize this unit by telling the students that Unit 3 introduced Essential Functions.
- Transition to the next unit by telling the students that Unit 4 will cover Orders of Succession.



Orders of Succession

Unit 4: Orders of Succession objectives:

- Determine orders of succession.
- Identify and discuss the steps in orders of succession planning.



64

Instructor Notes

- Introduce this unit by explaining that at the end of this unit, the students should be able to:
 - Determine orders of succession.
 - Identify and discuss the steps in order of succession planning.

A presentation slide titled "Orders of Succession". The slide has a light blue background with a dark blue border. At the top left, there is a small graphic of a feathered headdress. The title "Orders of Succession" is written in a dark blue serif font. In the center, a large blue speech bubble contains the text "What is an Order of Succession?" in white. At the bottom left, the FEMA logo is visible, and at the bottom right, the number "65" is displayed.

Orders of Succession

What is an Order of Succession?

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65

Instructor Notes

- **What is an “Order of Succession?”**
- Allow the group time to respond before displaying the next visual.



Orders of Succession

Orders of Succession establish a clear line of succession for decision making in the event a Tribal government's leadership becomes debilitated or incapable of performing its legal and authorized duties, roles, and responsibilities.

Written Procedures
Succession and Delegation
of Authorities

66

Instructor Notes

- If not mentioned by the group, explain that FCD 1 and CGC 1 defines “orders of succession” as:
 - Orders of Succession establish a clear line of succession for decision making in the event a Tribal government’s leadership becomes debilitated or incapable of performing its legal and authorized duties, roles, and responsibilities.
- Point out that orders of succession should be established to support day-to-day operations. They are not merely a function of Continuity of Operations.



Orders of Succession

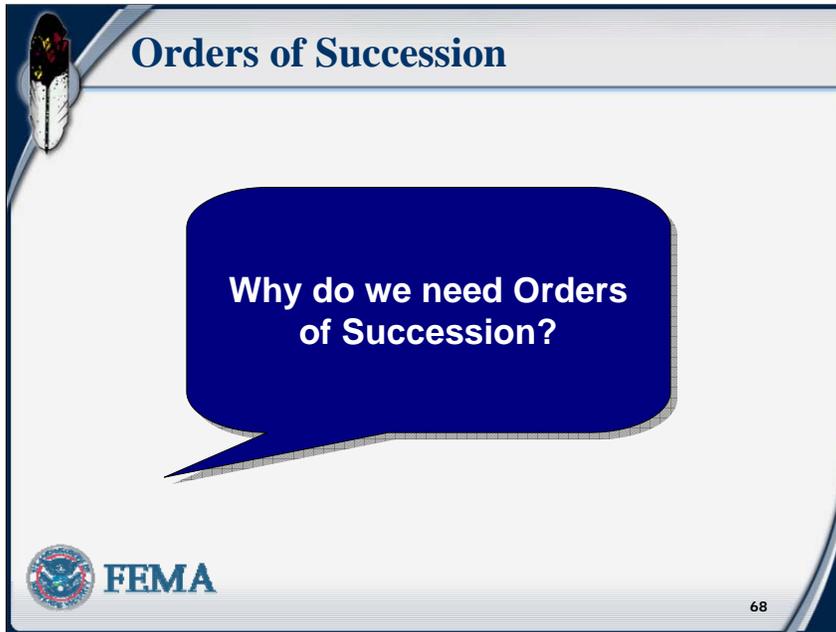
- Orders of succession are implemented when Tribal government leadership is debilitated or incapacitated.
- Tribal governments must establish, promulgate, and maintain orders of succession to key positions, including successor location(s) and contact information.



67

Instructor Notes

- Tell the group that succession to office is critical in the event that the Tribal government leadership is debilitated or incapable of performing its legally authorized duties, roles, and responsibilities.
- Explain that Tribal governments are responsible for establishing, promulgating, and maintaining orders of succession to key positions, including successor location(s) and contact information.
- **Instructor Note:** Point out that the Tribal government should develop a Devolution Plan to address how the Tribal government will identify and transfer its essential functions in the aftermath of a catastrophic emergency.
- Stress that devolution is separate from orders of succession and will be addressed later in this course.



Instructor Notes

- **Why do we need orders of succession?**
- Allow the group time to respond. If not mentioned by the group, explain that orders of succession allow for an orderly and predefined transition of leadership within the Tribal government.
- **Instructor Note:** Conduct a brief class discussion about the potential negative impacts of not having an established order of succession and ensuring that they are followed. Ask if anyone has experienced a situation in which an order of succession was not specified or when one was not followed as specified when needed.
- As an example, the order of succession to the U.S. Presidency is the:
 - Vice President.
 - Speaker of the House of Representatives.
 - President Pro Tempore of the Senate.
 - Secretary of State.
 - Secretary of the Treasury.
 - Secretary of Defense.



Orders of Succession

- Orders of Succession allow for an orderly and predefined transition of leadership within the Tribal government.
- Orders of Succession are critical if the Tribal government leadership is debilitated or incapable of performing its legally authorized duties, roles, and responsibilities.



69

Instructor Notes



Establishing Orders of Succession

Key steps for establishing orders of succession:

- Establish an order of succession to the position of Tribal government leadership.
- Establish orders of succession for all other key positions.
- Identify limitations on delegations of authority.
- Consider legislatively mandated orders of succession.
- Have General Counsel review the orders of succession.

70

Instructor Notes

- Describe the steps required to develop orders of succession:
 - Establish an order of succession for Tribal government leadership.
 - Establish orders of succession for all other key positions.
 - Consider legislatively mandated orders of succession.
 - Have the Tribal government's General Counsel review the orders of succession for legal sufficiency.
- Suggest that:
 - Orders of succession procedures include the conditions under which succession will take place, the method of notification, and any Tribal governmental limitation on the authorities.
 - Orders of succession are included with the Tribal government's vital records.
 - As general guidance, each position should have a minimum of three successors, if that is possible.

A slide titled "Implementing Orders of Succession" with a question in a blue speech bubble. The slide includes the FEMA logo and the number 71 in the bottom right corner.

Implementing Orders of Succession

What are some circumstances that might require implementing Orders of Succession?

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71

Instructor Notes

- **What are some circumstances that might require implementation of orders of succession?**
- Facilitate a brief discussion around this question. Possible answers from the group could include:
 - The death of any of the Tribal government leadership.
 - Out-of-country travel.
 - A personal or family tragedy that required the Tribal government head to take a leave of absence.



Implementing Orders of Succession

Some circumstances that may require implementing Orders of Succession include:

- The death, disability, or debilitation of key Tribal leaders.
- Unavailability of key Tribal leaders through out of State or out of country travel.
- Personal tragedies that require key Tribal leaders to take leaves of absence.



72

Instructor Notes

- Ask the students if they can think of any other circumstances that may require implementing Orders of Succession.



Activity: Determining Orders of Succession

1. Select a key position at your Tribal government organizational level.
2. Develop an order of succession for that position. Make the order at least three deep.

You will have 10 minutes to complete this activity.



73

Instructor Notes

- **Purpose:** The purpose of this activity is to allow the students to focus on the possible line of succession in their Tribal governments.
- **Instructions:** Follow the steps below to conduct this activity.
 - Direct the students to the activity in the Student Manual.
 - Tell the students to work individually to:
 - Select a key position at their organizational level (e.g., Tribal headquarters, regional office).
 - Develop an order of succession of at least three people for that position and record their information on the Order of Succession Worksheet that is included in the Student Manual.
- Tell the students that they will have 10 minutes to complete this activity.
- At the end of the allotted time, ask one or two students to present their orders of succession to the class. Facilitate a brief discussion around why the successors were selected in the order that they were selected.
- Summarize the activity by emphasizing that orders of succession planning should be accomplished at all organizational levels—and that every position in an order of succession will also need an order of succession to backfill the organization.



Activity: Determining Orders of Succession

Purpose To allow the students to focus on the possible line of succession in their Tribal governments.	Instructions <ol style="list-style-type: none">1. Work individually on this activity.2. Use the worksheet provided to:<ul style="list-style-type: none">▪ Select a key position at their organizational level (e.g., Tribal headquarters, regional office).▪ Develop an order of succession of at least three people for that position and record their information on the Order of Succession Worksheet that is provided.3. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Orders of Succession Worksheet to complete the activity



74

Instructor Notes

- While the students are working, circulate through the room to answer questions.
- At the end of the allotted time, ask two or three students to present their support requirements.
- Facilitate a brief discussion around how the students derived their Tribal government or their tribal department or agency orders of succession.



Training Successors

- Train successors for their emergency duties.
- Exercise the order of succession.
- Communicate orders of succession to the entire Tribal government.



75

Instructor Notes

- Introduce this topic by explaining that, just as personnel with delegated authorities require training in delegated areas, successors must be trained for their assigned emergency duties.
- Suggest that the procedures for implementing orders of succession be exercised and that corrective action be taken, where necessary.
- Emphasize the need to communicate the order of succession plans to the entire Tribal government.
- Annual training for successors is highly recommended and documentation of the training, to include the dates of the training, is highly recommended as well.



Summary and Transition

Questions?

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76

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Orders of Succession.

Next unit:

- Delegations of Authority.



77

Instructor Notes

- Summarize this unit by telling the students that Unit 4 introduced orders of succession.
- Transition to the next unit by telling the students that Unit 5 will cover delegations of authority.



Delegations of Authority

Unit 5: Delegations of Authority objectives:

- Determine delegations of authority.
- Identify and discuss the steps in delegations of authority planning.



78

Instructor Notes

- Introduce delegations of authority by telling the group that, at the end of this topic, they should be able to:
 - Determine delegations of authority.
 - Identify and discuss the steps in delegations of authority planning.



Delegations of Authority

What are Delegations of Authority?

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79

Instructor Notes

- **What are delegations of authority?**
- Allow the students time to respond before displaying the next visual.



Delegations of Authority

Delegations of Authority identify who is authorized to act on behalf of the Tribal government leadership or other key officials for specified purposes and ensures that designated individuals have the legal authority to carry out their duties.



80

Instructor Notes

- If not mentioned by the group, explain that FDC 1 and CGC 1 defines delegations of authority as formal documents that:
 - Specify who is authorized to act on behalf of the Tribal government leadership and other key officials for specific purposes.
 - Document the legal authority for officials—including those below the Tribal government leadership—to make key decisions during a Continuity situation. Delegations of authority are not unique to Continuity of Operations, but they become critical in a Continuity situation.



Delegations of Authority

Why do we need delegations of authority?

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81

Instructor Notes

- **Why do we need delegations of authority?**
- Allow the students time to respond before displaying the next visual.



Delegations of Authority

Ensure:

- Continued operation for Tribal Governments and their essential functions.
- Rapid response to any emergency situation requiring Continuity plan implementation.



82

Instructor Notes

- Explain that delegations of authority are required to ensure:
 - Continued operations of Tribal governments and their essential functions.
 - Rapid response to any emergency situation requiring Continuity plan implementation.



Delegations of Authority

Identify:

- Programs and administrative authorities needed for effective operations at all organizational levels.
- Circumstances under which the authority would be exercised.



83

Instructor Notes

- Continue by explaining that delegations of authority are required to identify:
 - Programs and administrative authorities needed for effective operations at all organizational levels.
 - The circumstances under which the authority would be exercised.



Delegations of Authority

Identify:

- The authority being delegated.
- The limits of the authority.
- To whom.
- When the delegation becomes effective and when it ends.
- Authority to redelegate.



84

Instructor Notes

- Delegations of authority state explicitly:
 - The authority that is being delegated, including any exceptions.
 - The limits of that authority.
 - To whom the authority is being delegated (by title, not name).
 - The circumstances under which delegated authorities would become effective—generally, when normal channels of direction are disrupted—and when they would terminate—generally, when normal channels of direction have resumed.
 - The successor's authority to redelegate functions and activities.
- Delegations of authority are not exclusive to Continuity of Operations but are necessary for day-to-day operations. Delegations of authority should be determined before an emergency or Continuity activation to ensure continued operation of the Tribal government and its critical functions.
- Everyone affected by a delegation of authority must be informed. Effective communication is critical to successful delegations.



Training Delegated Authorities

How can you ensure that delegations work?

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85

Instructor Notes

- **How can you ensure that delegations of authority work?**
- Allow the group time to respond before displaying the next visual.



Training Delegated Authorities

Training must include:

- Officials who may be expected to assume authorities.
- Exercising the delegation of authority process, and take corrective action as necessary.



86

Instructor Notes

- If not mentioned by the group, explain that:
 - Those assuming delegated authorities should be trained, as necessary, in any areas for which they may assume responsibility.
 - The delegation should be exercised to ensure that the delegation takes place smoothly and that successors are able to assume all responsibilities that have been delegated. Corrective action, such as additional training, should be taken as necessary.
 - Annual training on Delegations of Authority and documentation of this training, including the dates of the training, also is highly recommended.
- Ask if anyone has any questions before continuing.



Activity: Identifying Critical Delegations

1. Select a critical position from your Tribal government.
2. Determine authorities.
3. List skill and knowledge requirements.
4. Identify who would assume the authorities.
5. Determine notification procedures.
6. Determine potential limits of the authority.

You will have 10 minutes to complete this activity.



87

Instructor Notes

- **Purpose:** The purpose of this activity is to provide an opportunity for the students to practice identifying authorities that must be delegated and determining the steps required to delegate authorities successfully.
- **Instructions:** Follow the steps below to conduct this activity:
- Tell the students to work individually to complete this activity.
- Direct the students to the activity in the Student Manual and ask the students to:
 - Determine the critical authorities of the position.
 - List specific skill or knowledge requirements of the position.
 - Identify who (by title) would assume these authorities if the principal individual was unavailable or incapacitated.
 - Determine how the successor would be notified.
 - Determine potential limits of the authority.
- Tell the students that they should record their responses on the Delegation of Authority Worksheet that is included in the Student Manual.
- Tell the group that they will have 10 minutes to complete this activity.



Activity: Identifying Critical Delegations

Purpose To provide an opportunity for students to identify authorities that must be delegated and determine the steps required.	Instructions <ol style="list-style-type: none">1. Work individually to complete this activity..2. Use the worksheet provided to:<ul style="list-style-type: none">▪ Select a Critical position in your Tribal government.▪ Determine the critical authorities of the position.▪ Identify who (by title) would assume these authorities.▪ Determine how the successor would be notified.▪ Determine potential limits of the authority.3. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Delegations of Authority Worksheet to complete the activity



88

Instructor Notes

- While the students are working, circulate through the room to answer questions as necessary.
- At the end of the allotted time, ask 2 or 3 students to report their responses to the class.
- Facilitate a brief discussion around their responses. Ask clarifying questions as necessary. Solicit suggestions from the class, and make additional suggestions based on your experience.



Summary and Transition

Questions?

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89

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Delegations of Authority.

Next unit:

- Continuity Facilities.



90

Instructor Notes

- Summarize this unit by telling the students that Unit 5 introduced delegations of authority.
- Transition to the next unit by telling the students that Unit 6 will cover selecting continuity facilities.



Continuity Facilities

Unit 6: Continuity Facilities objectives:

- Define continuity facilities.
- Identify planning considerations.
- Outline acquisition process.
- Describe reporting requirements.



91

Instructor Notes

- Introduce this unit by telling the group that, at the end of this unit they should be able to:
 - Define continuity facilities.
 - Identify the planning considerations for continuity facilities.
 - Outline the acquisition process for continuity facilities.
 - Describe the reporting requirements for continuity facilities.
- Remind the group that FCD 1 and CGC 1 assume that a Tribal government's primary facility suffers damage and that a continuity facility is required for Continuity operations.
- Explain that this topic will cover continuity facilities from three perspectives:
 1. Planning considerations.
 2. Acquisition requirements.
 3. Reporting.

The slide features a light blue background with a dark blue border. At the top left, there is a small graphic of a Native American headdress. The title "Continuity Facilities" is written in a dark blue serif font. In the center, a large dark blue speech bubble contains the text "What are Continuity Facilities?" in white. At the bottom left, the FEMA logo is displayed, and at the bottom right, the number "92" is visible.

Continuity Facilities

What are Continuity Facilities?

 **FEMA**

92

Instructor Notes

- **What are Continuity Facilities?**
- Allow the group time to respond before displaying the next visual.



Continuity Facilities

Continuity facilities are designated facilities other than the primary operating facility of the Tribal government that contains sufficient space, equipment and other resources to sustain the Tribal government's Mission Essential Functions for extended periods of time.

93

Instructor Notes

- Reference: Annex G of FCD 1, and CGC 1.



Selecting Continuity Facilities

What planning considerations did you use when determining whether a facility was suitable?

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94

Instructor Notes

- **What planning considerations did you use when determining whether a facility was suitable?**
- Allow the student time to respond before displaying the next visual. Then, use the next two visuals to summarize (or add to) the student's list of planning considerations.



Selecting Continuity Facilities

Planning considerations:

- Location.
- Construction.
- Whether an MOU or MOA exists.
- Space.
- Billeting.
- Site transportation.
- Communication.



95

Instructor Notes

- Suggest that the students will need to consider all of the items on the visuals to determine which are the most important to their Tribal governments. Emphasize that prioritizing the items based on the Tribal government's requirements is the first step in locating a suitable facility.
 - Location: Select a site that provides a risk-free environment and is geographically dispersed from the primary work location to reduce the chance that it will be affected by the same event that required Continuity activation.
 - Construction: The continuity facility should be constructed so that it is relatively safe from the high-risk hazards in the area.
 - Existence of an MOU/MOA: If the facility is not owned by the tribal government, another option may be to enter into a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) with another Tribal government or non-Tribal organization to share space during Continuity activation.
 - Space: The continuity facility must have enough space to house the personnel, equipment, and systems required to support all of the Tribal government's essential functions.
 - Billeting and site transportation: Billeting and site transportation should be available at or near the continuity facility. Obviously, sites that are accessible by public transportation and that provide billeting or are near hotels offer important advantages.
 - Communication: The site will need to support the Tribal governments Continuity information technology and communication requirements. The Tribal government will need to acquire any capabilities not already in place.
- **Instructor Note**: Caution the group not to rely entirely on public transportation or hotels, as critical infrastructure may be damaged by the event that triggers Continuity activation.



Selecting Continuity Facilities

Planning considerations:

- Security.
- Life support.
- Preparation.
- Maintenance.



96

Instructor Notes

- Continue by explaining that other factors that are important to consider when selecting an continuity facility include:
 - Security. Security measures, such as controlled access, should be an inherent part of the facility.
 - Life support measures. Access to life support measures—food, water, medical supplies and other necessities—is also important. If they are not available on site, they should be nearby.
 - Preparation. How much time, effort, and cost will be required to make the facility suitable for the Tribal government’s needs? Obviously, the easier it is to occupy the facility, the better.
 - Maintenance. How much maintenance will be required to keep the facility ready for Continuity operations? Lower maintenance facilities offer a distinct advantage in case of no-warning Continuity activation.





Acquiring Space

After determining the type of continuity facility, consideration should be given to:

- Existing Tribal government space.
- Virtual offices.
- MOU/MOA with another Tribal government.




97

Instructor Notes

- Introduce this topic by telling the group that after they have determined the type of continuity facility their Tribal government’s need, they should consider whether:
 - There is existing space in the area. Tribal governments may have offsite training facilities, regional or field offices, and remote headquarters operations that could meet the need.
 - Virtual offices are an option for unclassified work. Some Tribal governments may be able to have key personnel work at home, telecommute, or work from a mobile office to accomplish their essential operations.
 - An MOA/MOU with another Tribal government or non-Tribal organization is an option—assuming that the other Tribal government or non-Tribal organization is not at risk from an event that would cause your Tribal government to activate its Continuity plan.
- **Instructor Notes:** Urge the students that if they consider an MOA or MOU arrangement with another Tribal government or non-Tribal organization, their respective legal departments should review and approve the agreement. Also, urge the group to check any facilities for which multiple organizations have access. Remind the group that it may be necessary to relocate to multiple facilities or schedule shift work if the continuity facility cannot accommodate the entire Continuity staff.



Acquiring Space

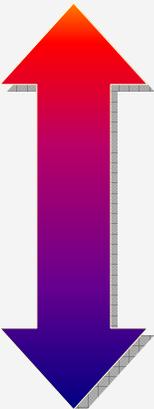
- Tribal government specific continuity facility.
- Tribal government procured/maintained space.
- Joint-use continuity facility.



98

Instructor Notes

- Suggest that the students identify at least two continuity facilities in case the first selection is unavailable during the emergency.
- Point out that using space for a continuity facility that is already owned or leased by the Tribal government is always preferable because the basic infrastructure (e.g., communication systems) may already be in place.
- Explain that the Tribe's first preference should be to have total control of the space selected. If the Tribal government does not own the facility, however, total control may not be possible.
- Even if the Tribal government signs an agreement, periodic reevaluation will be required, and facility requirements should be updated as necessary to meet changing organizational requirements.
- It is highly recommended the MOAs/MOUs be reviewed annually.



Hot, Warm, or Cold Facilities?

Hot:

- All systems in place
- Utilities on
- Ready for immediate activation

Warm:

- Many systems in place
- Utilities may be on or off
- Can be activated in several hours

Cold:

- No systems in place
- Utilities may be on or off
- Considerable time needed for activation



99

Instructor Notes

- Tell the group that one of the decisions their Tribal governments will have to make is whether to maintain a hot, warm, or cold continuity facility. Explain that:
 - A “hot” site is ready for immediate activation and has:
 - All systems in place.
 - Utilities turned on.
 - A “warm” site can be activated within several hours:
 - Many systems are in place.
 - Utilities may be on or off. If off, they can be turned on very quickly.
 - A “cold” site requires a longer activation period. Cold sites have:
 - No systems in place.
 - Utilities may be on or off but are probably off.
- Point out that the decision about the type of site to maintain can be difficult. Hot sites are obviously more expensive to maintain but are ready for operation as soon as the staff arrives. Tell the group that sites that are in use every day are good candidates to be converted to an alternate facility during Continuity operations. Cold sites are the least expensive to maintain but may take hours to get all systems in place, and contingency plans may be required for interim operations.



Activity: Supporting Continuity Facilities

1. Consider the equipment and systems needed in the Continuity Facility to support Essential Functions identified in the earlier activity.
2. Consider the types of support required.
3. Utilize the Essential Functions Matrix Worksheet.

You will have 10 minutes to complete this activity.



100

Instructor Notes

- **Purpose:** The purpose of this activity is to provide the students an opportunity to determine the **equipment and systems** resources needed to support the essential functions identified earlier in this unit.
- **Instructions:** Follow the steps below to conduct this activity:
 - Tell the students that this activity builds on the Tribal Essential Functions activity that they worked upon. (They should work individually or in the same groups assigned for the earlier activity.)
 - Direct the students to the **Continuity Facility** activity in the Student Manual.
 - Ask the students to consider the essential functions that they identified in the previous activity and determine the types of support that the essential functions require in terms of:
 - Equipment and systems.
 - Tell the students to add information about **equipment and systems** requirements to the Essential Functions Matrix Worksheet in the Student Manual.
- Tell the group that they will have 10 minutes to complete this activity.



Activity: Supporting Continuity Facilities

Purpose To provide the opportunity to determine the resources needed to support the essential functions identified earlier.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Work with your group to determine the types of support:<ul style="list-style-type: none">▪ Equipment and systems.3. Add equipment and systems support requirements for the Continuity Facility to the Tribal Essential Functions Matrix Worksheet4. Select a spokesperson for the group.5. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Tribal Essential Functions Worksheet to complete the activity



101

Instructor Notes

- While the students are working, circulate through the room to answer questions.
- At the end of the allotted time, ask two or three students or groups to present their support requirements.
- Facilitate a brief discussion around how the students (groups) derived their Tribal governments' support needs.



Summary and Transition

Questions?



102

A slide titled "Summary and Transition" with a large blue speech bubble containing the text "Questions?". The FEMA logo is in the bottom left corner, and the number "102" is in the bottom right corner. A decorative feather graphic is in the top left corner of the slide.

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Continuity Facilities.

Next unit:

- Continuity Communications.



103

Instructor Notes

- Summarize this unit by telling the students that this unit introduced Continuity Facilities.
- Transition to the next unit by telling the students that Unit 7 will introduce Continuity Communications.



Continuity Communications

Unit 7: Continuity Communication objectives:

- Define continuity communications.
- Describe the importance of continuity communications to Continuity of Operations.



104

Instructor Notes

- Introduce this unit by telling the group that, at the end of this unit, they should be able to:
 - Define continuity communications.
 - Describe the importance of continuity communications to Continuity of Operations.
- **Instructor Note:** Emphasize that it is not possible to describe all of the complexities involved in developing and maintaining continuity communications in this course.



Instructor Notes

- Tell the group that, after acquiring an continuity facility, the facility must be prepared to support Continuity operations. One of the most important resources an continuity facility must provide is continuity communications.
- **What are continuity communications?**
- Allow the group time to respond before displaying the next visual.



Continuity Communications

Communications that provide the capability to execute the Tribal government's essential functions at headquarters and at its continuity facility, as well as the ability of the senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions until normal operations can be resumed.

A photograph showing a group of people in a meeting room, gathered around a table with laptops and documents, engaged in a discussion.The FEMA logo, featuring the Federal Emergency Management Agency seal and the acronym FEMA.

106

Instructor Notes

- If not mentioned by the group, explain that FCD 1 and CGC 1 define continuity communications as:
 - Communications that provide the capability to execute the Tribal governments essential functions at headquarters and at its continuity facility, as well as the ability of the senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, until normal operations can be resumed.



Continuity Communications

- Support performance of essential functions.
- Provide capability to communicate internally and externally.
- Ensure access to data, systems, and services.
- Be compatible with those used by other organizations.



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107

Instructor Notes

- Continue by telling the group that continuity communications must:
 - Support the execution of the Tribal government's essential functions.
 - Ensure the capability to communicate or establish connectivity, both internally and externally.
 - Permit access to data, systems, and services.
 - Be compatible with those used by other supporting organizations.



Continuity Communications

What are some examples of continuity communications?

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108

Instructor Notes

- **What are some examples of continuity communications?**
- Allow the students time to respond. Facilitate a brief discussion about different types of continuity communications. Possible examples of continuity communications include:
 - Phones (secure and nonsecure), including landline, cellular, satellite, etc.
 - Fax.
 - Messaging capabilities.
 - Two-way radios.
 - Government Emergency Telephone System (GETS).



Continuity Communications

Examples of continuity communications include:

- Phones (secure and nonsecure), including landline, cellular, satellite, etc.
- Fax.
- Messaging capabilities.
- Two-way radios.
- Government Emergency Telephone System (GETS).



109

Instructor Notes

- Ask the students if they can think of any other types of continuity communications.



Continuity Communications

In a Continuity environment, continuity communications must be:

- Redundant.
- Available within 12 hours of activation.
- Sustainable for up to 30 days or until normal operations can be resumed.



110

Instructor Notes

- Continuity communications must also be:
 - Redundant.
 - Available within 12 hours of activation.
 - Sustainable for up to 30 days or until normal operations can be resumed.
- Ask if anyone has any questions before continuing.



Activity: Defining Communication Needs

1. Create a separate list of partners and/or organizations to include the private sector that you would need to contact during Continuity of Operations.
2. Consider the Continuity Communications needed to support Essential Functions identified in the earlier activity.
3. Consider the types of support required.
4. Utilize the Tribal Essential Functions Matrix Worksheet.

You will have 10 minutes to complete this activity.



111

Instructor Notes

- **Purpose:** The purpose of this activity is to provide the students an opportunity to determine the **Continuity Communications** needed to support the essential functions identified earlier in this unit. Students to consider whom they need to communicate with in an emergency and how that communication could occur.
- **Instructions:** Follow the steps below to conduct this activity:
 - Tell the students that this activity builds on the Tribal Essential Functions activity that they worked upon. (They should work individually or in the same groups assigned for the earlier activity.)
 - Direct the students to the **Continuity Communications** activity in the Student Manual.
 - Ask the students to consider the essential functions that they identified in the previous activity and determine the types of support that the essential functions require in terms of:
 - Create a separate list of the partners and/or organizations to include the private sector that they will need to contact during Continuity of Operations.
 - Identify the primary and one backup means of communicating with those partners and organizations.
 - Requirements for Communications systems.
 - Tell the students to add information about **Continuity Communications** requirements to the Essential Functions Matrix Worksheet in the Student Manual.
- Tell the group that they will have 10 minutes to complete this activity.



Activity: Supporting Continuity Facilities

Purpose To provide the opportunity to determine the resources needed to support the essential functions identified earlier.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Work with your group to determine the types of support:<ul style="list-style-type: none">▪ Create a list of the partners and/or organizations to include the private sector that they will need to contact.▪ Identify the primary and one backup means of communicating.3. Add Communications Capability to the Tribal Essential Functions Matrix Worksheet4. Select a spokesperson for the group.5. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Tribal Essential Functions Worksheet to complete the activity



112

Instructor Notes

- While the students are working, circulate through the room to answer questions.
- At the end of the allotted time, ask two or three students or groups to present their support requirements.
- Facilitate a brief discussion around how the students (groups) derived their Tribal governments' support needs.



Summary and Transition

Questions?

 **FEMA**

113

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Continuity Communications.

Next unit:

- Vital Records.



114

Instructor Notes

- Summarize this unit by telling the students that this unit introduced Continuity Communications.
- Transition to the next unit by telling the students that Unit 8 covers Vital Records.



Vital Records

Unit 8: Vital Records objective:

- Describe the elements of an effective vital records program.



115

Instructor Notes

- Explain that most organizations have a vital records program to protect those documents, files, and materials that are vital to the Tribal government and its operations.
- Tell the students that, at the end of this unit, they should be able to describe the elements of an effective vital records program.
- **Instructor Note:** For Federal agencies, the National Archives and Records Administration (NARA) provides guidance on identifying and safeguarding vital records. NARA guidance is one option for the Tribal governments to use for identifying and safeguarding vital records.



Vital Records

What are Vital Records?

 **FEMA**

116

Instructor Notes

- **What are Vital Records?**
- Allow the group time to respond before displaying the next visual.



Vital Records

Vital records are those information systems and applications, electronic and hardcopy documents, references, and records needed to support the Tribal government's mission essential functions during an event that requires Continuity of Operations.



117

Instructor Notes

- Reference: Annex I of FCD 1 and CGC 1.



Identifying / Safeguarding Vital Records

What are some examples of vital records?

 **FEMA**

118

Instructor Notes

- **What are some examples of vital records?**
- Allow the group time to respond before displaying the next visual.



Identifying / Safeguarding Vital Records

Examples:

- Enrollment/Membership Rolls.
- Treaties/Compacts.
- 638 Contracts.
- Cultural and Historical Records.
- Tribal constitution.
- Financial Records.
- Orders of Succession.
- Delegations of Authority.
- Policies and Directives.
- Standard Operating Procedures.



119

Instructor Notes

- This visual provides several examples of vital records. Ask the group if they can think of any others.



Identifying / Safeguarding Vital Records

Categories of vital records:

- Emergency operating records.
- Legal and financial rights records.



120

Instructor Notes

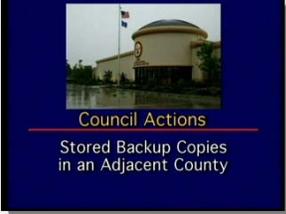
- Explain that there are two categories of vital records established by NARA.
- Emergency operating records include:
 - Plans and directives.
 - Orders of succession.
 - Delegations of authority.
 - Staffing assignments.
- Legal and financial rights records include:
 - Personnel records.
 - Social Security records.
 - Payroll records.
 - Retirement records.
 - Insurance records.
 - Contract records.
- Ask the group where they would place the following records:
 - Enrollment/Membership Rolls
 - Treaties/Compacts
 - 638 Contracts
 - Cultural and Historical Records
 - Tribal constitution



Identifying / Safeguarding Vital Records

Two types:

- Static records may change little or not at all.
- Active records change constantly with circumstances or completed work.



 FEMA

121

Instructor Notes

- Continue by explaining that “vital records” are information items that are considered to be vital to the operation of a Tribal government. The determination of what is vital is a management decision.
- Explain that there are two types of vital records:
 - Static records are those that change little or not at all over time. An example of a static record might be the Tribal constitution, policies, directives or contracts.
 - Active records change constantly with circumstances or as work is completed. An example of an active record might be the Continuity call-down roster.
- Both types of vital records are essential and should be preserved so that operations can be maintained or quickly resumed following an interruption.
- In addition to these categories or records, Continuity personnel also may require other materials and resources. If so, these other materials and resources should be considered “vital” for Continuity of Operations, even though they may not fit into the two NARA-defined categories.



Vital Records Program Characteristics

An effective vital records program provides for:

- Identification.
- Protection.
- Ready availability.



122

Instructor Notes

- An effective vital records program should account for the identification, protection, and ready availability of:
 - Vital records.
 - Databases.
 - Hardcopy documents necessary to support essential functions under the full spectrum of emergencies.
- A vital records program is essential for any period of disruption, not just during a disaster or for the post-disaster period. An effective vital records program will ensure the continued availability of essential information in the event that normal operations are disrupted and records, including records essential for operations, are lost.
- Stress that a vital records program is mandatory for Federal government operations and is essential for a viable Tribal government Continuity program. The following slides cover the components of a vital records program.



Components of a Vital Records Program

Official establishment of the program and assignment of responsibility:

- Specifies purpose and scope.
- Assigns roles and responsibilities.
- Provides for staff training.
- Requires periodic review and testing.



123

Instructor Notes

- Introduce this topic by explaining that effective vital records programs have several components in common. Each of these components will be described next.
- The first component of the vital records programs begins with senior leadership establishing the program and assigning responsibility for vital records management.
- The directive or other document establishing the vital records program should:
 - Specify the purpose and scope.
 - Assign roles and responsibilities.
 - Provide for staff training.
 - Require periodic review and testing of the program.
- The vital records program should also include a description of the arrangements made to duplicate and preserve vital records, the frequency with which duplication will be performed, and an identification of the media to be used to preserve the records.



Components of a Vital Records Program

Inventory of the records includes:

- Maintenance of a complete inventory of records.
- Location of records.
- How to access information.



124

Instructor Notes

- The next component of an effective vital records program is the:
 - Maintenance of a complete inventory of the records identified as emergency operating records or legal and financial rights records.
 - The location of the records.
 - Complete access information.
- Remind the group that knowing what vital records are needed but not knowing where they are or how to access them can seriously and adversely impact a Tribal government's ability to conduct operations during emergencies or disasters.



Components of a Vital Records Program

A risk assessment to:

- Identify the risks involved if vital records are retained at their current locations and in their current media—and the difficulty of reconstituting them if they are destroyed.
- Determine if offsite storage is necessary.
- Determine if alternate storage media are advisable.
- Determine if duplication is advisable.



125

Instructor Notes

- The next component of an effective vital records program is the completion of a risk assessment to:
 - Identify the risks involved if the vital records are retained in their current locations and in their current media—and the difficulty of reconstituting them if they are destroyed.
 - Consider how best to store the Tribal government's vital records – in filing cabinets, in cartons on shelves, in special containers such as those for protecting maps and wall charts, or electronic data.
 - Also, consider the level of physical security and confidentiality required for the records to be stored. Access to the records storage area should be tightly controlled. The Tribal government's records may contain highly sensitive personnel, financial, or proprietary information.
 - Determine if offsite storage is required. Consider the best place to store the records—perhaps at a regional office in another city, in a reinforced vault away from headquarters, or in commercial storage.
 - Determine if alternate storage media are advisable. Consider the best form in which to store each type of vital record. In many cases, the Tribal government will use several types of storage media for different types of vital records.
 - Determine if duplication is advisable. Duplication may be required for records that will be stored off site, are static records, or are available in hardcopy only. Duplication for other types of records may be necessary to provide redundancy of media.
- **Instructor Note:** Remind the group that vital records must be stored in facilities that are dry, temperature-controlled, and dust free.



Components of a Vital Records Program

- Procedures for routinely updating vital records.
- Identification of records recovery experts and vendors to assist with recovery in the event of damage or loss.

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126

Instructor Notes

- Tell the group that the next component, procedures for routinely updating vital records so that they always contain the most current information, is where the periodic review and testing of the program begins. The program head will determine how frequently the records will be reviewed or tested.
- Stress that a vital records program should always include the preparation and maintenance of a list of those who are allowed to access the vital records. The list should be distributed to information managers, senior managers, and others whose names appear on the list.
- Generally, vital records will probably make up not more than 10 percent of the total volume of records held by a Tribal government. During each review and update cycle, records should be checked to ensure that the information they contain is still essential. Spot checks and tests can also help identify missing or excluded vital records.
- Point out that by following this process, the Tribal government can ensure that the vital records that are maintained are accurate and up to date at any given time. This is imperative in the event that reconstitution—reestablishment—of the Tribal government becomes necessary.
- Point out that another critical component, identification of records recovery experts and vendors, identifies who can assist with the recovery of vital records in the event of damage or loss, is another critical component of a vital records program. Note that the length of time required to recover vital records can add considerably to the time it takes a Tribal government to become operational in a Continuity situation.



Components of a Vital Records Packet

Development and maintenance of a vital records packet that includes:

- A list of key personnel and disaster staff with up-to-date telephone numbers.
- A vital records inventory with precise locations of all vital records.
- Necessary keys and/or access codes.
- Alternate operating facility locations.

127

Instructor Notes

- Tell the group that the next component involves the development of a vital records packet. At a minimum, the packet should include:
 - A list of key personnel and disaster staff and up-to-date telephone numbers or other contact information.
 - A complete inventory of the vital records with their precise locations.
 - Necessary keys and/or access codes for the records.
 - The locations of alternate operating facilities.
- Stress that the packet should be reviewed periodically to ensure that the information is current. Suggest that a copy should be maintained in a secure location at the Tribal government's Continuity facility and at other locations where it can be accessed easily by appropriate personnel, when needed.



Components of a Vital Records Program

Testing capabilities for:

- Protecting classified and unclassified vital records and databases.
- Providing access to vital records from alternate operating facilities.



128

Instructor Notes

- Tell the group that the final component of an effective vital records program involves testing capabilities for:
 - Protecting classified and unclassified vital records and databases.
 - Providing access to vital records from alternate operating facilities or devolution sites.
- These capabilities will ensure that the vital records program effectively supports the Continuity program. Testing should be conducted semiannually.
- Ask if anyone has any questions before continuing.



Establishing a Vital Records Program

What information do you need to know or consider to establish a Continuity vital records program?

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129

Instructor Notes

- **Purpose:** The purpose of this discussion is to focus the students' attention on the types of information required to establish an effective vital records program.
- **As a Continuity Program Manager, what information do you need to know or consider to establish an effective Continuity vital records program?**
- Record the students' responses on chart paper before proceeding to the next slide. Possible responses include:
 - Does the Tribal government have a vital records program in place?
 - Has the Tribal government established policies and procedures governing its vital records program?
 - Is a Tribal government organization or specific individual responsible for the program?
 - How often do they require change or updating?
 - Where are the vital records located?
 - Who needs to use the vital records at the continuity facility or devolution site?
- **Instructor Note:** Allow about 10 minutes for this discussion. If the students experience difficulty, ask probing questions drawn from the components as memory prompts.



Essential Information for Vital Records

- Does the Tribal government have a vital records program in place?
- Has the Tribal government established policies and procedures governing its vital records program?
- Is a Tribal government organization or specific individual responsible for the program?
- How often do they require change or updating?
- Where are the vital records located?
- Who needs to use the vital records at the continuity facility or devolution site?



130

Instructor Notes

- If the students do not list all of the essential information for establishing a vital records program, assist them with the following information:
 - What are the Tribal government's vital records from a Continuity perspective?
 - How many vital records are there?
 - On what media do the records exist?
 - Are the vital records classified? If so, at what level?
 - Is the need immediate?
 - How much storage is available at the continuity facility or devolution site?
- **Note:** Direct the students to the Vital Records Matrix Worksheet in the Student Manual. Explain that this form has been taken from Annex I of FCD 1 and CGC 1. Point out that it may be useful as a starting point for identifying vital records.
- Review the form briefly with the group.



Activity: Supporting Vital Records

1. Consider the Vital Records needed to support Essential Functions identified in the earlier activity.
2. Consider the types of support required.
3. Utilize the Tribal Essential Functions Matrix Worksheet.

You will have 10 minutes to complete this activity.



131

Instructor Notes

- **Purpose:** The purpose of this activity is to provide the students an opportunity to determine the **Vital Records** needed to support the essential functions identified earlier in this unit.
- **Instructions:** Follow the steps below to conduct this activity:
 - Tell the students that this activity builds on the Tribal Essential Functions activity that they worked upon. (They should work individually or in the same groups assigned for the earlier activity.)
 - Direct the students to the **Vital Records** activity in the Student Manual.
 - Ask the students to consider the essential functions that they identified in the previous activity and determine the types of support that the essential functions require in terms of Vital Records and Databases:
 - Electronic Files
 - Hardcopy Records.
 - Tell the students to add information about **Vital Records** requirements to the Essential Functions Matrix Worksheet in the Student Manual.
- Tell the group that they will have 10 minutes to complete this activity.



Activity: Supporting Vital Records

Purpose To provide the opportunity to determine the resources needed to support the essential functions identified earlier.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Work with your group to determine the types of Vital Records and Databases needed:<ul style="list-style-type: none">▪ Electronic Files▪ Hardcopy Records3. Add equipment and systems support requirements for the Continuity Facility to the Tribal Essential Functions Matrix Worksheet4. Select a spokesperson for the group.5. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Tribal Essential Functions Worksheet to complete the activity



132

Instructor Notes

- While the students are working, circulate through the room to answer questions.
- At the end of the allotted time, ask two or three students or groups to present their support requirements.
- Facilitate a brief discussion around how the students (groups) derived their Tribal governments' support needs.



Summary and Transition

Questions?

 **FEMA**

133

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Identifying and Safeguarding Vital Records.

Next unit:

- Human Capital.



134

Instructor Notes

- Summarize this unit by telling the students that Unit 8 introduced identifying and safeguarding vital records.
- Transition to the next unit by telling the students that Unit 9 will cover human capital.



Human Capital

Unit 9: Human Capital objectives:

- Define human capital.
- Identify and discuss human capital considerations for Continuity of Operations.



135

Instructor Notes

- The objectives of Unit 9 is to define human capital and identify and discuss human capital considerations for Continuity of Operations.



Human Capital

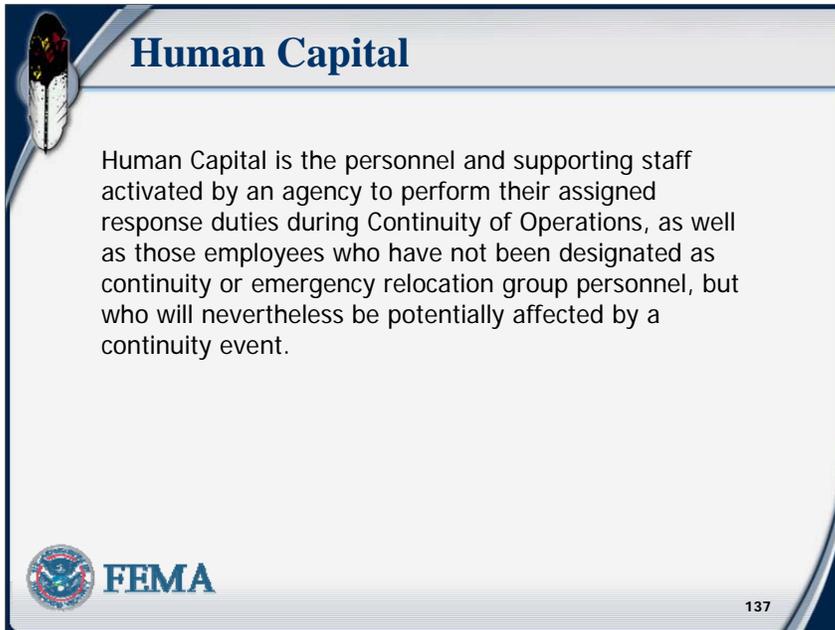
What is Human Capital?

 **FEMA**

136

Instructor Notes

- Ask the group:
- **What is human capital?**
- Allow the group time to respond before displaying the next visual.

A slide titled "Human Capital" with a decorative border. The text defines human capital as personnel and supporting staff activated during continuity of operations, including those not designated as emergency relocation group personnel. The slide includes the FEMA logo and the number 137.

Human Capital

Human Capital is the personnel and supporting staff activated by an agency to perform their assigned response duties during Continuity of Operations, as well as those employees who have not been designated as continuity or emergency relocation group personnel, but who will nevertheless be potentially affected by a continuity event.



137

Instructor Notes

Reference: Annex J of FCD 1 and CGC 1.



Human Capital and Continuity

- Designation of emergency personnel.
- Communication with all personnel.
- Providing guidance to all personnel.
- Providing telework and alternate work locations.



138

Instructor Notes

- Tell the group that there are several concerns for human capital in Continuity situations:
 - Designation of emergency employees.
 - Communication with all employees.
 - Providing guidance to all employees.
 - Providing telework and alternate work locations.
- Each of these will be discussed in this unit.



Designating Emergency Personnel

Ensure that the designated emergency personnel:

- Possess the skills to perform the Continuity function.
- Can remain calm in an emergency.
- Do not have personal hardships.
- Are identified as a primary or alternate.
- Receive formal documentation of Continuity assignment.
- Are trained and equipped.



139

Instructor Notes

- Explain that there are several factors to consider when designating emergency employees. These considerations include all employees that may be designated as part of the Emergency Relocation Group (ERG):
 - Have the skills required to perform their Continuity functions.
 - Can remain calm in an emergency.
 - Do not have personal hardships that would interfere with the performance of their Continuity function.
 - Have been identified as either a primary ERG member or an alternate and know their designations.
 - Receive formal documentation of their Continuity assignments.
 - Are trained and equipped to perform their Continuity assignments.



Communicating with All Personnel

Ensure that Continuity and non-continuity personnel have a clear understanding what to do in a Continuity situation:

- Schedule meetings with all personnel.
- Conduct regular exercises and simulations.
- Establish a Tribal government notification system for Continuity personnel.
- Communicate workplace operating status for all employees.
- Develop procedures to account for all personnel in an emergency.

140

Instructor Notes

- Remind the group that all personnel should be familiar with their responsibilities and requirements during a Continuity situation. Emphasize the importance of clear communication with both ERG AND non-ERG personnel. To ensure that all personnel have a clear understanding of what to do in a Continuity situation:
 - Schedule meetings with all personnel to ensure that they know what to expect, how they will be notified, and what to do upon Continuity plan activation.
 - Conduct regular exercises and simulations that enable personnel to practice Continuity activities in a simulated environment.
 - Establish a Tribal government notification system for Continuity personnel and test the system.
 - Establish a system for communicating workplace operating status for all employees.
 - Develop procedures to account for all employees in an emergency and test the procedures.



Human Capital Guidance

Develop a partnership between the Tribal government's Continuity manager and human resources managers.

- Human resources departments are familiar with and understand human capital tools, flexibilities, and strategies.
- Resources already exist and are available for each organization within the Tribal government and at the human resources office.

141

Instructor Notes

- Tell the group that a Continuity situation will raise personnel questions that only human resources managers can answer. Suggest that the students:
 - Develop a partnership with the Tribal government human resources managers. Human resources (HR) departments are familiar with and understand human capital tools, flexibilities, and strategies.
 - Contact their human resources managers for resources that already exist and are available.



Human Capital Guidance

Tools, flexibilities and strategies available:

- Pay and leave.
- Work schedules.
- Benefits.
- Employee assistance program.



142

Instructor Notes

- Explain that several tools, flexibilities, and strategies are available for addressing Continuity specific human capital issues. These tools, flexibilities, and strategies address Continuity specific issues around:
 - Pay and leave.
 - Work schedules.
 - Benefits.
 - Employee assistance programs.



Activity: Supporting Human Capital

1. Consider the Staffing needed to support Essential Functions identified in the earlier activity.
2. Consider the key leadership and support staffing required.
3. Utilize the Tribal Essential Functions Matrix Worksheet.

You will have 10 minutes to complete this activity.

143

Instructor Notes

- **Purpose:** The purpose of this activity is to provide the students an opportunity to determine the **Human Capital staffing** needed to support the essential functions identified earlier in this unit.
- **Instructions:** Follow the steps below to conduct this activity:
 - Tell the students that this activity builds on the Tribal Essential Functions activity that they worked upon. (They should work individually or in the same groups assigned for the earlier activity.)
 - Direct the students to the **Human Capital** activity in the Student Manual.
 - Ask the students to consider the essential functions that they identified in the previous activity and determine the types of support that the essential functions require in terms of staffing:
 - Key Leadership
 - ERG Support Staff.
 - Tell the students to add information about **Human Capital** requirements to the Essential Functions Matrix Worksheet in the Student Manual.
- Tell the group that they will have 10 minutes to complete this activity.



Activity: Supporting Human Capital

Purpose To provide the opportunity to determine the resources needed to support the essential functions identified earlier.	Instructions <ol style="list-style-type: none">1. Work in your table groups.2. Work with your group to determine the types of Human Capital Staffing needs:<ul style="list-style-type: none">▪ Leadership▪ ERG Support Staff3. Add number of personnel requirements (leadership and staff) for the Continuity Facility to the Tribal Essential Functions Matrix Worksheet4. Select a spokesperson for the group.5. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	

Use the Tribal Essential Functions Worksheet to complete the activity



144

Instructor Notes

- While the students are working, circulate through the room to answer questions.
- At the end of the allotted time, ask two or three students or groups to present their support requirements.
- Facilitate a brief discussion around how the students (groups) derived their Tribal governments' support needs.



Telework and Alternate Work Locations

What is Telework?

FEMA

145

Instructor Notes

- Ask the group:
- **What is telework?**
- Allow the group time to respond before displaying the next visual.



Telework Defined

Any arrangement in which an employee regularly performs officially assigned duties at home or other work sites geographically convenient to the residence of the employee, which reduce or eliminate the employee's commute.

CORE vs. SITUATIONAL

146

Instructor Notes

- If not defined by the group, explain that telework includes:
 - Any arrangement in which an employee regularly performs officially assigned duties at home or other work sites geographically convenient to the residence of the employee and reduce or eliminate the employee's commute.
 - Point out that some agencies have instituted telework as a routine, or core, operation. Other agencies use telework only situationally, such as during Continuity activation.



Telework and Continuity Operations

- Telework policies should be included in Tribal government Continuity plans.
- Telework allows many employees to be dispersed so business can continue to operate.
- Telework may be especially useful during a pandemic or other biological event.



147

Instructor Notes

- Point out that many organizations are revising telework policies to include them in Continuity plans. For example, many Federal agencies have incorporated telework into Continuity plans, especially for Continuity situations such as a pandemic in which social distancing is critical to limit the spread of infection.



Telework and Continuity Operations

The Office of Personnel Management has made the following suggestions to Federal Departments and agencies that may be applicable to Tribal Governments:

- Develop a cadre of core and situational teleworkers.
- Permit teleworkers to work off site and learn to communicate electronically.
- Encourage supervisors to manage employees without face-to-face contact.

148

Instructor Notes

- Tell the group that OPM has studied telework extensively and suggests that agencies:
 - Develop a cadre of core and situational teleworkers and institute a telework program before a Continuity situation arises. Initiating a telework program before a Continuity situation arises enables agencies to test communications and computer systems in a nonemergency situation.
 - Permit teleworkers to work offsite and learn to communicate electronically.
 - Encourage supervisors to manage employees without face-to-face contact.



Telework and Continuity Operations

For Continuity, Tribal governments should:

- Establish a partnership between the Tribal governments human resources (HR) department and the Emergency Management/Continuity staff.
- Determine availability of human resources flexibilities (staffing, pay, leave, benefits) prior to and after an event.
- Maintain up-to-date contact information for all employees.
- Set up a Tribal government process to account for all employees during an emergency.



149

Instructor Notes

- Tell the group that there are several steps that the Continuity Program Managers should take now to ensure continuity. Suggest that they:
 - Establish a partnership with the Tribal government HR department.
 - Determine the availability of human resources flexibilities prior to and after a Continuity event.
 - Maintain up-to-date contact information for all employees.
 - Set up a Tribal government process to account for all employees during a Continuity situation.



Telework and Continuity Operations

For Continuity, Tribal governments should:

- Encourage the use of telework and alternate work sites.
- Communicate the Tribal government's emergency policies to all employees.
- Prepare for emergencies with training and drills.



150

Instructor Notes

- Continue describing the steps required to ensure continuity:
 - Encourage the use of telework and alternate work sites.
 - Communicate their Tribal governments' emergency policies with all employees.
 - Prepare for emergencies with training and drills.



Summary and Transition

Questions?



151

A presentation slide with a light blue background and a dark blue border. At the top, the text "Summary and Transition" is written in a dark blue serif font. In the center, a large dark blue speech bubble contains the word "Questions?" in white. In the bottom left corner, the FEMA logo is displayed, consisting of a circular seal and the letters "FEMA" in a bold, blue, sans-serif font. The number "151" is located in the bottom right corner of the slide.

Instructor Notes

- Ask if anyone has any questions about anything covered in this unit.



Summary and Transition

This unit:

- Introduced Continuity and Human Capital.

Next unit:

- Test, Training & Exercises Program.



152

Instructor Notes

- Summarize this unit by explaining that the Unit 9 covered the issues and resources related to human capital in a Continuity situation.
- Transition to the next unit by telling the group that Unit 10 will cover Test, Training and Exercises.



Test, Training, and Exercise

Unit 10: Test, Training and Exercise objectives:

- Define and explain the terms test, training, and exercises.
- Explain the importance of a Continuity Test, Training, and Exercises (TT&E) program.



153

Instructor Notes

- Introduce this unit by telling the group that, at the end of this unit, they should be able to:
 - Define and explain the terms tests, training, and exercises (TT&E).
 - Explain the importance of a Continuity TT&E program.
 - Tell the group that TT&E is an extremely important component of the overall Continuity program. Explain that this unit will define and explain these three distinctly different terms and activities and explain the importance of a Continuity TT&E program.

A slide titled "Test, Training, and Exercises" with a central blue speech bubble containing the text "What is TT&E?". The slide includes the FEMA logo in the bottom left corner and the number "154" in the bottom right corner. A decorative feather graphic is in the top left corner of the slide frame.

Test, Training, and Exercises

What is TT&E?

 **FEMA**

154

Instructor Notes

- **What is TT&E?**
- Allow the students time to respond before displaying the next visual.



Test, Training, and Exercises

Measures to ensure that a Tribal government's Continuity program is capable of supporting the continued execution of its essential functions throughout the duration of a Continuity situation.



155

Instructor Notes

- Reference: Annex K of FCD 1 and CGC 1 defines TT&E as:
 - Measures to ensure that a Tribal government's Continuity program is capable of supporting the continued execution of its essential functions throughout a Continuity situation.



Test, Training, and Exercises

TT&E should be part of a program to:

- Ensure that all TT&E events share the common overall goal of mission readiness.
- Provide a framework for readiness activities that will ensure consistency and uniformity.



156

Instructor Notes

- Stress that Continuity TT&E events should be conducted as a part of a program that:
 - Ensures that all TT&E events share the common overall goal of mission readiness.
 - Provides a framework for readiness activities that will ensure consistency and uniformity.
- Establishing a Continuity TT&E program will help ensure that TT&E events are consistent, progressive, and focused on common goals that will complement and build on each other.



Test, Training, and Exercises

An effective TT&E program:

- Provides training in the appropriate functional areas of mission readiness.
- Provides opportunities to acquire the skills and knowledge needed.
- Builds team unity.



157

Instructor Notes

- Tell the group that this visual provides the general guidelines for developing an effective TT&E program. The program should:
 - Provide the right kind of training in the appropriate function areas of mission readiness for Continuity personnel.
 - Provides the right kind of training to develop the skills and knowledge required to perform the assigned functions in a Continuity environment.
 - Create sufficient and meaningful opportunities for team members to work together.



Test, Training, and Exercises

To achieve the goal of continuity mission readiness:

- Develop, implement, access and document a robust Test, Training and Exercise Program.
- Incorporate lessons learned from previous TT&E events and/or real-world events into the training provided to Continuity team members.



158

Instructor Notes

- The TT&E program should be a blend of test, training, and exercise events to ensure that personnel interest levels are maintained and to ensure that all are knowledgeable and available to perform their continuity assignments. The program should present current, credible information.
- To achieve the goal of continuity mission readiness through TT&E, the program should:
 - Be comprehensive in that it includes all three components—tests, training, and exercises. All three are important and will contribute in different ways to the development of the team's skills and readiness levels.
 - Reflect lessons learned from previous TT&E events—particularly what has been learned about team members' needs.
- The next several visuals will cover each component in more detail.
- **Instructor Note:** Urge the students to take additional training in test, training, and exercise development. The Federal Emergency Management Agency's (FEMA) Emergency Management Institute (EMI) offers several courses both on campus and through the Independent study series that could develop the students' skills in these areas.



Test, Training, and Exercises

A test is an evaluation of a capability against an established and measurable standard.

Examples of tests include:

- Communications tests.
- Alert and notification tests.
- Deployment tests.

159

Instructor Notes

- Tell the group that a test is an evaluation of a capability against an established and measurable standard.
- Stress that the key word in this definition is capability. Tests are conducted to evaluate capabilities, not personnel. From a Continuity of Operations perspective, tests are an excellent way to evaluate functions such as:
 - Communications connectivity.
 - Alert and notification procedures.
 - Deployment processes.



Test, Training, and Exercises

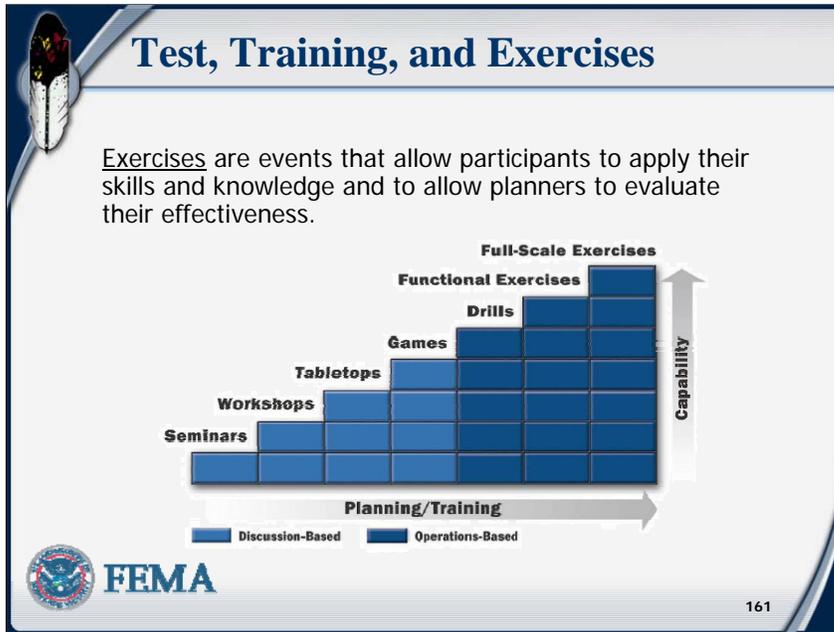
Training:

- Instruction in core competencies and skills.
- Provides the tools needed to accomplish a goal, meet program requirements, or acquire a specified capability.

160

Instructor Notes

- Tell the group that training:
 - Is instruction in core competencies and skills and is the principal means by which individuals achieve a level of proficiency.
 - Provides the tools needed to accomplish a goal, meet program requirements, or acquire a specified capability.
- Training encompasses a range of activities. The common thread among these different activities is their purpose. All of them provide information or develop or refine skills.
- Explain that as the students begin to develop a TT&E program, they will discover that a significant part of the program will be training activities.



Instructor Notes

- Tell the group that exercises are events that allow participants to apply their skills and knowledge to improve operational readiness and allow planners to evaluate the effectiveness of previously conducted tests and training activities.
- The primary purpose of an exercise is to identify areas that require additional training, planning, or other resources, with the goal of improving a Tribal government's Continuity capability.
- An exercise should provide the opportunity for determining whether:
 - Policies and procedures are effective.
 - Training is up to standard.
 - Adequate resources have been provided and used to help the team implement its mission.
- There are several different types of exercises. The two categories of exercises that are typically used in emergency management are shown on the visual.
 - Discussion Based Exercises
 - Seminars
 - Workshops
 - Tabletops
 - Games
 - Operations Based Exercises
 - Drills
 - Functional Exercises
 - Full-Scale Exercises



Test, Training, and Exercises

What are the benefits of exercises?

 FEMA

162

Instructor Notes

- **What are the benefits of exercises?**
- Allow the group time to respond before displaying the next visual.
- If not mentioned by the group, explain that there are two main benefits of exercises:
 - Personnel have an opportunity to practice their roles and responsibilities and get better at them.
 - Improving the overall Continuity of Operations program.
- These benefits arise not only from exercising, but from evaluating the exercises and acting on the lessons learned. An exercise has value only when it leads to improvement.
- The focus of an exercise should always be on locating and eliminating problems before an actual emergency occurs. Corrective actions are an important part of exercise design, evaluation, and follow-up.
- Within the Federal government, exercises are required for certain programs. Continuity guidance requires that Federal departments and agencies conduct a full-scale exercise annually. State, territorial, tribal and local government jurisdictions are highly encouraged to conduct annual continuity exercises.



Test, Training, and Exercises

Benefits of exercises:

- Reveal planning weaknesses.
- Reveal resource gaps.
- Improve coordination and communication.
- Clarify roles and responsibilities.



163

Instructor Notes

- This visual shows some of the other benefits of exercises include:
 - Revealing planning weaknesses.
 - Revealing resource gaps.
 - Improving intra- and intertribal coordination and communication.
 - Clarifying roles and responsibilities.
- Ask if anyone has any questions before continuing.



Structuring the TT&E Program

Establish the base:

- Review Plans, Policies, Procedures.
- Conduct Needs Assessment.
- Define Program Scope.
- Select Event Types.
- Develop Program Purpose.
- Develop Program Schedule.

 FEMA

164

Instructor Notes

- Tell the group that for a TT&E program to provide structure, purpose, and consistency to the TT&E events conducted, the program itself must be logically constructed. FEMA recommends a five-step process as a workable, logical approach to the construction of a TT&E program.
- Explain that the process is based on the exercise process taught by EMI. This model lends itself well to the development of an overall TT&E program and to related TT&E events.
- Tell the group that Step 1 involves establishing the base. During Step 1, the Continuity planning team completes all of the preliminary tasks required to begin developing the program.



Structuring the TT&E Program

The Hot Wash:

- Involves all exercise participants.
- Occurs immediately after the exercise.
- Is a facilitated discussion.
- Provides data for after-action reporting.



165

Instructor Notes

- Explain that several meetings and discussion sessions will likely be conducted after the exercise. Most of these will involve the exercise design team, controllers, and evaluators.
- One of the most important sessions is called the hot wash. This session is conducted immediately after the exercise and involves the players. The purpose of the hot wash is to capture the players' initial impression. It also provides them an opportunity to provide input about:
 - How things went.
 - What they think should be changed.
 - Commitments they might make for future improvement.
- The hot wash is a facilitated discussion (i.e., discussion is led by a moderator/facilitator who uses questions to gather input from the players with evaluator comments kept to a minimum). It typically begins with a review of the exercise objectives and solicitation of the player's feedback on the exercise's successes and shortcomings. Hot wash comments should be recorded for inclusion in the After-Action Report.
- If the players have been provided with a questionnaire or critique sheet to complete during the exercise, these should be collected during the hot wash. Often, those who hesitate to enter into group discussions will respond to a questionnaire.



Structuring the TT&E Program

The After-Action Report / Improvement Plan:

- Is developed based on information collected during and after the exercise.
- Includes a summary of the exercise purpose, objectives, concept, and scenario.
- Focuses on the accomplishment of the exercise objectives.
- Describes strengths and shortcomings.
- Identifies requirements for corrective action.



166

Instructor Notes

- After the exercise has ended, the next step is to evaluate the exercise to determine whether the objectives were achieved. The evaluation will be based on the information that was collected during and immediately after the exercise as identified in the Evaluation Plan. The results of the evaluation is the foundation of the After-Action Report/Improvement Plan.
- The After-Action Report/Improvement Plan is developed from the information collected during and after the exercise. It includes the:
 - Information evaluators record during the exercise.
 - Comments provided by exercise players on questionnaires they complete immediately following the exercise.
 - Observations and comments from the hot wash.
- The After-Action Report is developed by the evaluation team.
- The format of the After-Action Report is actually developed before the exercise and is outlined in the evaluation plan. It includes:
 - A summary (or overview) of the exercise—the purpose, objectives, concept, and scenario.
 - Focused discussion on how effectively the objectives were achieved and the significant lessons learned—strengths and shortcomings of the various elements of the Continuity program that were identified through the exercise.
 - Requirements for corrective action.
- The After-Action Report becomes the basis for future corrective actions—in the Continuity plan or program or in the TT&E program.



Summary and Transition

Questions?

 **FEMA**

167

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Test, Training, and Exercises.

Next unit:

- Devolution of Control and Direction.



168

Instructor Notes

- Summarize this unit by telling the students that this unit introduced tests, training, and exercises.
- Transition to the next unit by telling the students that Unit 11 will cover Devolution of Control and Direction.



Devolution of Control and Direction

Unit 11: Devolution of Control and Direction objectives:

- Define devolution.
- Identify the importance of devolution planning.

```
graph TD; HQ[Headquarters] --> AF[Alternate Facility]; AF --> DS[Devolution Site];
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 FEMA

169

Instructor Notes

- Introduce this unit by telling the group that, at the end of this unit, they should be able to:
- Define devolution.
- Identify the importance of devolution planning.
- Tell the group that, in a Continuity situation, it may be necessary to “devolve” authority for essential functions for some period of time.



Devolution Planning

What is Devolution?

 **FEMA**

170

Instructor Notes

- **What is Devolution?**
- Allow the students time to respond before displaying the next visual.



Devolution Planning

The capability to identify and transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other employees and facilities and to sustain that operational capability for an extended period.



171

Instructor Notes

- If not mentioned by the group, explain that Annex L of FCD 1 and CGC 1 define devolution as:
 - The capability to transfer statutory authority and responsibility for essential functions from a organization's primary operating staff and facilities to other employees and facilities and to sustain that operational capability for an extended period.
- Explain that devolution planning supports overall Continuity planning and addresses catastrophic or other disasters that render a Tribal government's leadership and staff unavailable or incapable of performing its essential functions from either its primary or continuity facility(ies).



Devolution Planning

Devolution Planning provides:

- For an extension of the Tribal government's concept of operations for the Continuity program.
- A mechanism for ensuring continuity of essential functions.
- For support capability in the event of the loss or incapacitation of a Tribal government's staff in addition to its facility.



172

Instructor Notes

- A devolution plan is an extension of a Tribal government's concept of operations for the continuity program. It is a way of ensuring a Continuity capability in the event continuity personnel are unable to perform the continuity mission or the continuity facility is unavailable to support it.
- A devolution plan provides a mechanism for ensuring the continuity of essential functions. The plan accounts for the loss or incapacitation of a Tribal government's staff in addition to the facility. In a devolution situation, management, leadership responsibilities, and essential functions will "devolve" to an alternate location.
- **Instructor Note:** Some agencies' Continuity plans may specify devolution as their primary means of Continuity of Operations.
- The Continuity devolution plan should be developed to address how a Tribal government will identify and transfer its essential functions in the aftermath of a catastrophic emergency. It should provide procedures, guidance, and an organizational structure for the receiving organization to ensure that the Tribal government's essential functions are continued.



Devolution Planning

An effective Devolution Plan will contain:

- Prioritized essential functions that must devolve.
- A roster of fully equipped and trained personnel.
- Likely activation protocols, or “triggers”, for the activation of the devolution plan.
- A description of how and when direction and control of Tribal government operations will be transferred.
- A list of necessary resources.

173

Instructor Notes

- Explain that in addition to specifically naming the site to which functions will devolve, an effective plan will contain:
- Prioritized essential functions that must devolve. Part of devolution plan development will involve a determination of which essential functions will devolve and their priority in a devolution scenario. It is possible that not all of the functions designated as essential in a Continuity situation will be essential functions in a devolution scenario. Also, the priority of essential functions may change based on requirements and circumstances.
- A roster of fully equipped and trained personnel. Stress that the devolution plan should include a roster of the individuals at the devolution site who are trained and equipped to perform the Tribal government’s essential functions.
- Likely activation protocols, or “triggers”, for the activation of the devolution plan. A devolution plan can be activated for a range of reasons and scenarios. Any event, whether natural or manmade, that renders personnel or a continuity facility unable to support Continuity of Operations can result in an activation of the devolution plan.
- A description of how and when direction and control of Tribal government operations will be transferred. Any event that might be accompanied or followed by secondary events—such as aftershocks or cascading information system failures—could also result in an activation of the devolution plan.
- A list of necessary resources. The plan must list the resources—people, equipment, and materials—that will be required to continue essential functions and sustain operations.



Devolution Planning

The Devolution Plan should describe:

- Reliable processes and procedures for acquiring necessary resources.
- Capabilities for restoring or reconstituting Tribal government authorities to their pre-event status upon termination of devolution.



174

Instructor Notes

- Explain that it is possible that the devolution site will require additional resources to carry out its mission. The devolution plan should establish reliable processes and procedures for acquiring those resources.
- Finally, the devolution plan should describe the capabilities for restoring, or reconstituting, Tribal government authorities to their pre-event status upon termination of devolution.



Devolution Planning

	COOP	Devolution
Concept	Relocate selected personnel to continuity facility.	Transfer COOP mission to devolution site.
Planning	“COOP Plan” COOP personnel will perform essential functions at continuity facility.	“Devolution Plan” Devolution site personnel will perform essential functions.
Implementation (including TT&E)	COOP personnel deploy to continuity facility and perform essential functions.	Devolution site personnel perform essential functions.


175

Instructor Notes

- Stress that the Continuity plan and the devolution plan must provide mechanisms for ensuring the continuity of a Tribal government’s essential functions.
- The Continuity plan provides overarching policy with respect to the relocation of selected staff (e.g., Emergency Relocation Group members) to the Tribal government’s relocation site.
- The devolution plan accounts for the loss or incapacitation of an organization’s staff in addition to the facility. It describes overarching policy with respect to the circumstances and execution of the transfer of essential functions to another facility.
- Ask if anyone has any questions before continuing.



Activity: Devolution Planning

1. Work in table groups.
2. Think about planning and preparedness considerations for the devolution site.
3. Record your responses on chart paper.

You will have 10 minutes to complete this activity.



176

Instructor Notes

- **Purpose:** The purpose of this activity is to focus the group's attention on the planning and preparedness considerations that the devolution site must address.
- **Instructions:** Follow the steps below to conduct this activity:
 - Direct the students' attention to the Student Manual.
 - Tell the students that they will work in table groups to complete this activity.
 - Ask the groups to think about the planning and preparedness considerations for the devolution site. Suggest that they record their responses in their Student Manuals, but also ask a group member to record the responses on chart paper.
- Tell the groups that they will have 10 minutes to complete this activity.



Activity: Devolution Planning

Purpose To focus attention on the planning and preparedness considerations that the devolution site must address.	Instructions <ol style="list-style-type: none">1. Work in groups to complete this activity..2. Use the space in the Student Manual to:<ul style="list-style-type: none">▪ Think about the planning and preparedness considerations of devolution planning.▪ Record responses in the Student Manual▪ Record responses on the chart paper.3. Report findings to the participants if requested.4. Participate in class discussions.
Time Activity: 20 minutes Report Back: 10 minutes	
Use the Student Manual and charts to complete the activity	



177

Instructor Notes

- While the groups are working, circulate through the room to answer questions as necessary.
- At the end of the allotted time, ask 2 or 3 groups to present their responses to the class.
- Facilitate a brief discussion around each presentation. Solicit additional considerations from the class, or provide considerations based on your own experience.



Summary and Transition

Questions?

 **FEMA**

178

Instructor Notes

- Ask if anyone has any questions before continuing.



Summary and Transition

This unit:

- Introduced Devolution of Control and Direction.

Next unit:

- Reconstitution Operations.



179

Instructor Notes

- Summarize this unit by telling the students that this unit introduced Devolution Planning.
- Transition to the next unit by telling the students that Unit 12 will cover Reconstitution Operations.



Reconstitution Operations

Unit 12: Reconstitution Operations objectives

- Define reconstitution.
- Identify the importance of reconstitution planning.



180

Instructor Notes

- Introduce this unit by telling the group that, at the end of this unit, they should be able to:
- Define reconstitution.
- Identify the importance of reconstitution planning.
- Tell the group that reconstitution is conducted after the emergency or disruption ceases and is unlikely to recur.



Reconstitution Planning

What is Reconstitution?

 **FEMA**

181

Instructor Notes

- **What is reconstitution?**
- Allow the group time to respond before displaying the next visual.



Reconstitution Operations

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



182

Instructor Notes

- If not mentioned by the group, explain that Annex M of FCD 1 and CGC 1 define reconstitution as:
 - The process by which surviving and/or replacement organization personnel resume normal organizational operations from the original or replacement primary operating facility.
- Emphasize that Tribal governments must identify and outline a plan to return to normal operations after Tribal government heads or their successors determine that reconstitution operations can begin.
- Reconstitution operations should be overseen by a Reconstitution Manager.



Reconstitution Planning

Reconstitution Planning includes:

- Transitioning from Continuity operations status to normal operations.
- Coordinating and planning options for reconstitution, regardless of the level of disruption.
- Outlining procedures necessary for a smooth transition from the relocation site.

183

Instructor Notes

- Stress that the reconstitution process involves three broad tasks:
 - Transitioning from Continuity operations status to normal operations after the threat or disruption has passed: Extensive coordination is necessary to refurbish the original facility or to procure a new one after the loss of the original facility. Within 24 hours of an emergency relocation, and upon receiving approval from the appropriate local and Federal law enforcement and emergency services agencies, the Tribal government should initiate and coordinate operations to salvage, restore, or recover the building.
 - Coordinating and planning options for reconstitution regardless of the level of disruption: These options shall include movement from the continuity or devolution facility to the originating facility or to a new facility when the originating facility is rendered unstable or uninhabitable. The orderly transition of all Tribal government functions, personnel, equipment, and records from the relocation site to a new or restored facility must be considered and planned.
 - Outlining procedures necessary to effect a smooth transition from a relocation site to a new or restored facility: These procedures should address devolution scenarios as well as standard Continuity of Operations transitions.



Implementing the Reconstitution Plan

Implementation:

- Notify all personnel that the threat or actual emergency no longer exists.
- Provide instructions for the resumption of normal operations.
- Supervise the orderly return to the permanent or temporary facility.
- Report the status of relocation.
- Conduct an after-action review.



184

Instructor Notes

- Point out the steps required to implement reconstitution:
 - Notifying all personnel that the threat or actual emergency no longer exists.
 - Providing instructions for the resumption of normal operations.
 - Supervising the orderly return of personnel, supplies, and equipment to the normal operating facility or to another temporary or permanent facility.
 - Reporting the status to the operating center (e.g., Federal agencies must report status to the Federal Emergency Management Agency (FEMA) Operations Center).
 - Conducting an after-action review of Continuity of Operations.
- **Instructor Note:** Remind the group that they will need to notify customers and other contacts that reconstitution is occurring or has occurred.
- Stress that no test, training, or exercise event will offer the insight into the strengths and weaknesses of a Continuity program that actual operations will provide. After-action review is imperative for identifying areas that require corrective action.



Reconstitution Manager Responsibilities

- Develop space allocation/facility requirements.
- Form a reconstitution team.
- Develop a time-phased plan.
- Develop procedures for restructuring the staff.
- Ensure the building is safe.

185

Instructor Notes

- Remind the group that reconstitution is a huge undertaking and that a Reconstitution Manager will be required to ensure that it occurs smoothly. The main tasks required of the Reconstitution Manager include:
 - Developing space allocation and facility requirements.
 - Forming a reconstitution team. Coordination with a host of other individuals and groups, including senior leaders, will be required. The Reconstitution Manager should create a reconstitution team consisting of individuals whose expertise will be required for the reconstitution effort.
 - Developing a time-phased plan that lists functions and projects—in priority order—for resuming normal operations.
 - Developing procedures for restructuring the staff, as necessary.
 - Ensuring that the building is structurally safe and that it meets all local occupancy requirements.
- Suggest that the students refer to their Tribal government's essential functions as a guide to prioritizing reconstitution efforts. The essential functions will indicate critical operations that must be reconstituted first and can be used as a roadmap for reconstitution.



Summary and Transition

Questions?



186

A presentation slide with a light blue background and a dark blue border. The title "Summary and Transition" is at the top. A large dark blue speech bubble in the center contains the text "Questions?". The FEMA logo is in the bottom left, and the number "186" is in the bottom right. A decorative feather graphic is in the top left corner.

Instructor Notes

- Ask if anyone has any questions about reconstitution.



Summary and Transition

This unit:

- Reconstitution Operations.

Next unit:

- Continuity Program, Plans, and Procedures.



187

Instructor Notes

- Summarize this unit by telling the students that this unit introduced reconstitution planning.
- Transition to the next unit by telling the students that Unit 13 will cover developing Continuity programs, plans, and procedures.



Plans, Programs, and Procedures

Unit 13: Continuity Program objectives:

- The purpose of a Continuity plan.
- How to develop an outline for a Continuity plan.
- How to identify procedures required to support your Tribal government's Continuity program.



188

Instructor Notes

- Introduce this unit by telling the group that none of the tasks described in the previous units can be accomplished without thorough and effective Continuity planning and procedures to implement the plan.
- Tell the group that this unit will describe the Continuity planning process as well as the process required to identify the procedures necessary to support the Continuity program. At the end of this unit, the students should be able to:
 - Explain the purpose of a Continuity plan.
 - Propose an outline for a Continuity plan.
 - Identify procedures that can effectively support a Continuity program.



Purpose of the Continuity Plan

The Purpose of a Continuity Plan.

- The Continuity plan is a roadmap for implementing and managing the Continuity program.
- Of all Continuity related documents, the Continuity plan is most important.
- Continuity plans are living documents, requiring regular review and revision.

189

Instructor Notes

- Introduce this topic by explaining that the Continuity plan is the roadmap for implementation and management of the Continuity program.
- Point out that, of all the documents that will be developed to support the Continuity program, the Continuity plan is the most important.
- Stress that like most plans, the Continuity plan is a living document. It will require regular review and will change as the Continuity program changes.
- Allow the group time to respond before displaying the next visual.



Purpose of Continuity Planning

To ensure the continued operation of Tribal governments and their essential functions.

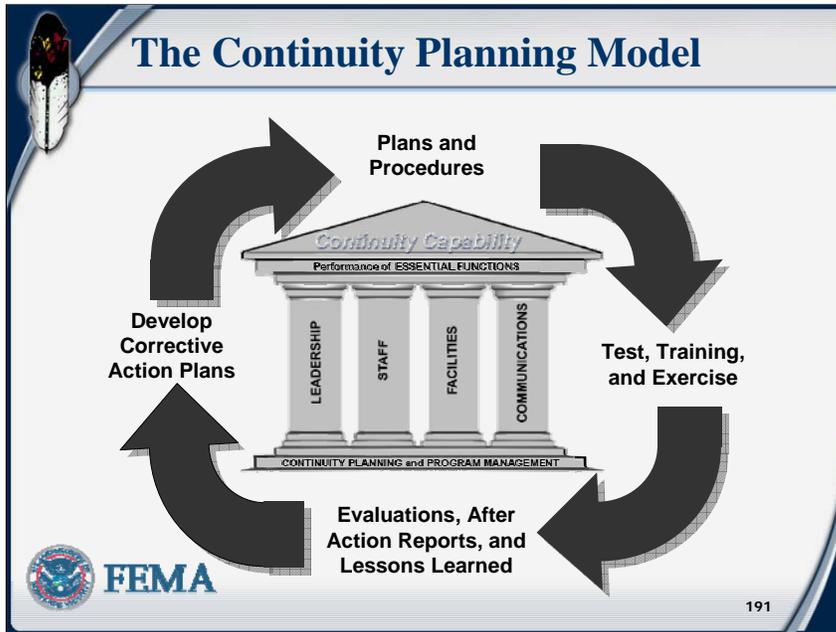
To ensure the rapid response to any emergency situation requiring Continuity plan implementation.



190

Instructor Notes

- If not mentioned by the group, explain that Continuity planning serves two main purposes:
 - To ensure the continued operation of Tribal governments and their essential functions in the event of an emergency that requires Continuity operations.
 - To ensure the rapid response to any emergency situation requiring Continuity plan implementation.
- The Continuity plan provides complete documentation of:
 - What will occur in a Continuity situation.
 - How and how quickly Continuity actions must occur.
 - Where Continuity operations will occur.
 - Who will participate in Continuity operations.



Instructor Notes

- Introduce this topic by telling the group that business continuity planners use a model to ensure that their contingency planning requirements are met. Explain that the model works for government continuity planning as well. Also, using a model to organize and keep the continuity planning process on track just makes good sense.
- Display the Continuity planning model. Tell the group that the model will be covered next. Explain that the Continuity planning model includes seven steps:
 - Initiate the Continuity planning process.
 - Determine essential functions.
 - Conduct a risk analysis.
 - Conduct an impact analysis.
 - Design and build the plan.
 - Test, train, and exercise the plan.
 - Distribute, maintain, and update the plan.



Continuity Plans should:

- Ensure performance of MEFs.
- Reduce loss of life and property damage.
- Execute Orders of Succession.
- Reduce or mitigate disruptions to operations.
- Ensure adequate continuity facilities.
- Protect personnel, equipment and other assets.
- Ensure timely recovery and reconstitution.
- Ensure continuity readiness through TT&E program.



192

Instructor Notes

- Annex A of FCD 1 and CGC 1 includes the following objectives of a continuity plan:
 - Ensuring that an agency can perform its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), if applicable, under all conditions.
 - Reducing the loss of life and minimizing property damage and loss.
 - Executing a successful order of succession with accompanying delegation of authorities in the event a disruption renders that agency's leadership unavailable, or incapable of assuming and performing their authorities and responsibilities of office.
 - Reducing or mitigating disruptions to operations.
 - Ensuring that the agency has facilities where it can continue to perform its MEFs and PMEFS, as appropriate, during a continuity event.
 - Protecting personnel, essential facilities, equipment, records, and other assets, in the event of a disruption.
 - Achieving the agency's timely and orderly recovery and reconstitution from an emergency.
 - Ensuring and validating continuity readiness through a dynamic and integrated continuity test, training, and exercise (TT&E) program and operational capability.



Summary and Transition

Questions?



193

Instructor Notes

- Ask if anyone has any questions on anything covered in this unit.



Summary and Transition

This unit covered:

- Key steps in developing Continuity plans, programs and procedures.

Next unit:

- Risk Management.



194

Instructor Notes

- Summarize by telling the students that this unit has covered key steps in developing Continuity plans, programs and procedures.
- Transition to the next unit by explaining that Unit 14 will discuss Risk Management as related to continuity planning.



Risk Management

Unit 14: Continuity Risk Management objectives:

- To provide an overview and understanding of the risk management cycle.
- To learn the role and importance of integrating risk management into continuity programs.

195

Instructor Notes

- Introduce this unit by telling the group that Risk Management is the foundation that will allow the Tribal government to fully understand the hazards and threats that face their government.
- The Risk management process will allow the Tribal government to establish priorities that will provide the most effective and efficient means upon which to build their continuity program.
- At the end of this unit, the students should be able to:
 - Understand the basic principles of the Risk Management Cycle.
 - Understand the importance of Risk Management in building a strong Tribal continuity program.
 - Identify the necessary actions needed to support a Continuity program.



Risk Management

What is Risk Management?

 **FEMA**

196

Instructor Notes

- **What is Risk Management?**
- Allow the group time to respond before displaying the next visual.



Risk Management

Risk management is the process to identify, control, and minimize the impact of uncertain events.

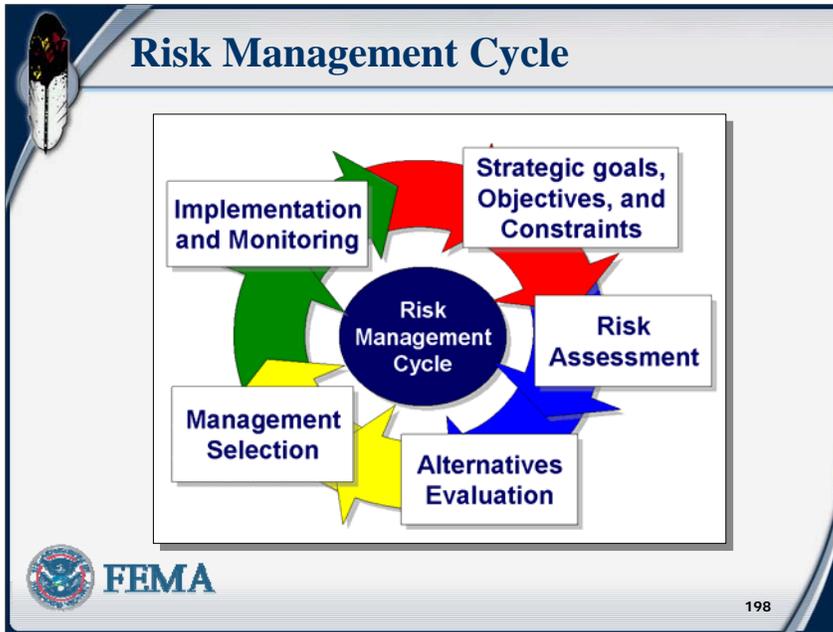


197

The slide content is contained within a blue-bordered frame. It features a title 'Risk Management' in a large, bold, blue font. Below the title is a paragraph of text. In the center is a photograph of two firefighters in full gear working in a field with some smoke or dust. At the bottom left is the FEMA logo, and at the bottom right is the number '197'. A small graphic of a Native American headdress is also visible in the top left corner of the frame.

Instructor Notes

- The Risk Management process supports the overarching Continuity Program Management Cycle by identifying:
 - The critical risks to organizational readiness.
 - The strategies that best mitigate the risks.
- Reference: Annex B of FCD 1 and CGC 1.



Instructor Notes

- The risk management cycle provides a useful framework for maximizing the readiness of a Tribal government to provide its primary mission essential functions in the face of risks from a broad spectrum of hazards facing the Tribal government, both manmade and natural.
- This process organizes information about the possibility of a spectrum of unwanted outcomes into an inclusive, orderly structure that helps decision makers make more informed choices about risks to the Tribal government's readiness across the four pillars that comprise the Nation's continuity capability: leadership, staff, facilities, and communications.



Risk Management Cycle

- Phase I: Strategic Goals, Objectives, and Constraints.
- Phase II: Risk Assessment.
- Phase III: Evaluation of Alternates.
- Phase IV: Management Selection.
- Phase V: Implementation and Monitoring.

 199

Instructor Notes

- Explain to the students that these are the five phases of the Risk Management Cycle and that the following slides will cover each phase sequentially.



Risk Management Phase I

Phase I: Strategic Goals, Objectives, and Constraints

- Understand and define the decision.
- Determine who should be involved.
- Identify the factors that will influence the decisions.



200

Instructor Notes

- **Phase I – Strategic Goals, Objectives, and Constraints:** This phase involves establishing the scope and structure of the risk-informed decision making process. Critical steps in this phase include:
 - **Understand and define the decision.** For this effort, the critical question is: *How should I invest my limited resources across the four continuity pillars – leadership, staff, facilities and communications – to ensure that my organization satisfies its continuity requirements?*
 - **Determine who should be involved.** Input from key stakeholders is essential to a sound risk management process. The analysis team should identify and solicit input from stakeholders who should be involved in making the decision, and those who will be affected by actions resulting from the decision making process.
 - **Identify the factors that will influence the decisions.** The decision to invest resources to meet continuity requirements is not based on only one factor. Decision makers must simultaneously weigh multiple factors, including costs, timelines, and risks.



Risk Management Phase II

Phase II: Risk Management

- Inventory the critical functions of the Tribal government.
- Identify the hazards that impact critical functions.
- Develop continuity hazard scenarios.
 - Determine risk information needed.
 - Assess the risk.
- Identify existing safeguards/countermeasures.

201

Instructor Notes

- **Phase II – Risk Assessment:** This phase involves following a structured process for understanding the problem facing a Tribal government. Simply, this process provides this understanding by answering the following three questions: (1) what can go wrong, (2) what is the likelihood that the undesired event might occur, and (3) what would be the impact should it occur? Critical steps in this phase include:
 - **Inventory the critical functions provided by the Tribal government.** The analysis team should leverage the functions identified during the PMEF Identification and Analysis process (see Annex D, FCD 1 and CGC 1).
 - **Identify the hazards that can impact delivery of the critical functions.** This step would include exploring potential natural events, intentional man-made events, and nonintentional man-made events that could adversely affect the ability of the Tribal government to perform MEFs.
 - **Develop continuity hazard scenarios.** All of the assessment steps should be performed within the context of a set of scenarios, each of which is a unique combination of a particular hazard and the Tribal government's MEFs. The following steps outline the elements of the scenario risk assessment:
 - **Determine the risk information needed to assess the risk.** Describe the information necessary to assess the risk for each scenario. For each information item, specify the information type, precision, and certainty required, and the analysis resources available.
 - **Assess the risk.** For each scenario, the analysis team should assess the threat, vulnerability, and consequences.
 - **Identify existing safeguards/countermeasures.** For each scenario, the analysis team should identify the existing safeguards that are in place to reduce either the likelihood (e.g., security countermeasures) or consequence (e.g., redundant capabilities) of the hazard.



Risk Management Phase III

Evaluation of Alternatives

- Develop alternate risk management strategies.
- Assess the risk impact of the proposed strategies.



202

Instructor Notes

- **Phase III – Evaluation of Alternates:** For many scenarios, the current risk may be considered to be at an acceptable level. For those scenarios where the current level of risk is deemed to be unacceptable, action(s) must be taken to mitigate the risk. These actions must (1) provide a beneficial return on investment, (2) be acceptable to stakeholders, and (3) not cause other significant risk. Critical steps in this phase include:
 - **Develop alternate risk management strategies.** The analysis team should engage the appropriate stakeholders to determine how the risks for each scenario can be managed most effectively. These alternate strategies should be completely developed and documented by addressing all of the critical factors (e.g., cost, schedule).
 - **Assess the risk impact of the proposed strategies.** The analysis team should reassess the risk of each scenario based on the implementation of each alternative strategy. This step will provide the risk reduction value of each of the alternate strategies.



Risk Management Phase IV

Management Selection

- Choose a collection of alternatives for implementation.
- Evaluate the alternatives.

Anticipated Performance	Satisfactory (near or above goal)	<ul style="list-style-type: none"> • Work to improve confidence AND • Investigate other strategies 	<ul style="list-style-type: none"> • Maintain current strategy OR • Move to strategy with better anticipated performance and confidence
	Unsatisfactory (below goal)	<ul style="list-style-type: none"> • Work to improve confidence AND • Aggressively prepare to select another strategy 	<ul style="list-style-type: none"> • Change implementation of current strategy OR • Implement new strategy
		Unsatisfactory (Low)	Satisfactory (High)

Confidence

203

Instructor Notes

- **Phase IV – Management Selection:** Once the alternative strategies have been fully developed and their risk reduction value has been quantified, the risk management process moves to the management selection phase, where decision makers choose the collection of alternatives for implementation. The alternatives will be evaluated based on consideration of all of the previously identified critical factors, including effectiveness (risk reduction), efficiency, and cost-effectiveness.
- Another critical factor that should be considered is the confidence or belief that the alternative will achieve the projected level of performance. The effect of many of the alternative strategies may be well understood by the Tribal government. For instance, these alternatives may have a proven track record of performance within other similar organizations, or they may have been extensively studied. The performance of other alternatives with less of a history may not be as well understood. The analysis team may believe that these less understood alternatives will achieve a level of satisfactory performance; however, their confidence is at a lower level.
- During the management selection phase, decision makers need an understanding of both anticipated performance and confidence to ensure that the proper suite of actions is taken. The figure on the chart represents a simple decision support matrix that recommends approaches for dealing with different levels of anticipated performance and confidence.
- Finally, decision makers must recognize that this process is cyclical and many of the alternatives will be implemented in subsequent cycles due to limitations in resources and time.



Risk Management Phase V

Implementation and Monitoring.

- Implement the chosen mitigation strategies.
- Develop metrics to measure effectiveness.
- Monitor Tribal government performance.

204

Instructor Notes

- **Phase V – Implementation & Monitoring:** Critical steps in this phase include:
 - **Implement the chosen mitigation strategies.** This step involves the implementation of the mitigation strategies identified during the management selection phase. These strategies should reduce the risk that the Tribal government will be unable to meet the continuity requirements.
 - **Develop metrics to measure effectiveness.** The analysis team must develop a collection of metrics, both qualitative and quantitative, to measure the Tribal government's ability to meet the continuity requirements. The metrics identified in NSPD-51/HSPD-20 Paragraph 11 for each of the continuity requirements should serve as a guide in crafting the metrics.
 - **Monitor organizational performance.** After the strategies have been implemented and the metrics have been developed, the Tribal government should monitor the effectiveness of the actions taken to manage risk. The goal of the monitoring phase is to verify that the Tribal government is getting the expected results from its risk management decisions. Key inputs into the monitoring phase include testing, training, and exercising. The results of the monitoring step will inform subsequent iterations of the risk management cycle.



A presentation slide titled "Summary and Transition" with a light blue background and a dark blue border. A large dark blue speech bubble in the center contains the text "Questions?". In the bottom left corner is the FEMA logo, and in the bottom right corner is the number "205". A decorative feather graphic is in the top left corner of the slide area.

Instructor Notes

- Ask if anyone has any questions on anything covered in this unit.



Summary and Transition

This unit covered:

- Continuity Program Risk Management.

Next unit:

- Continuity Budgeting and Acquisition of Resources.



206

Instructor Notes

- Summarize by telling the students that this unit has covered key steps in understanding the Risk Management Cycle.
- Transition to the next unit by explaining that Unit 15 will cover Continuity Budgeting and Acquisition of Resources.

A slide titled "Continuity Program Budgeting" with a decorative feather graphic in the top left corner. The slide content includes the unit title, objectives, and the FEMA logo.

Continuity Program Budgeting

Unit 15: Continuity Budgeting and Acquisition of Resources objectives:

- To understand the importance of a Budget and Acquisition Program in support of the Continuity program.
- To understand the budget and acquisition process and procedures that lead to a successful Continuity program.

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207

Instructor Notes

- Explain to the students that developing a continuity programs without parallel development a solid budget and acquisition program diminishes the Tribal governments ability to implement a successful continuity program.
- Also explain to the students that Tribal leadership acceptance and support of the budget and acquisition process is essential for success.

A presentation slide titled "Continuity Program Budgeting". The title is in a blue serif font at the top. Below the title is a large blue speech bubble containing the text "Why is budgeting and acquisition so important to Continuity of Operations?". In the bottom left corner, there is the FEMA logo (a circular seal with an eagle) and the text "FEMA". In the bottom right corner, the number "208" is displayed. There are also decorative feather graphics in the top left and top right corners of the slide frame.

Continuity Program Budgeting

Why is budgeting and acquisition so important to Continuity of Operations?

 **FEMA**

208

Instructor Notes

- **Why is budgeting and acquisition so important to Continuity of Operations?**
- Allow the group time to respond before displaying the next visual.



Continuity Program Budgeting

Through the budgeting and acquisition process, a Tribal government's leaders and staff should ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.



209

Instructor Notes

- FCD 1 and CGC 1 suggest that Tribal governments should identify the people, communications, facilities, infrastructure, and transportation requirements which are necessary for the successful implementation and management of the Tribal government's continuity program.
- To support these programs, it is necessary to align and allocate the budgetary resources needed to acquire and then implement these requirements. Through the budgeting and acquisition process, the Tribal government's leaders and staff will ensure critical continuity resources are available to continue performing the Tribal government's essential functions before, during, and after a continuity event.



Continuity Program Budgeting

For effective continuity capabilities, Tribal governments should:

- Use a risk management methodology to identify, prioritize, and justify the allocation of continuity budgetary resources.
- Integrate continuity budgets with a multiyear strategy and a program management plan.
- Provide for the acquisition of those resources necessary for continuity operations.
- Budget for and acquire continuity communications capabilities, as applicable.

210

Instructor Notes

- As recommended in NSPD-51/HSPD-20, the NCIIP, FCD 1 and CGC 1, all organizations should identify and provide continuity funding and specific budgetary requirements for all levels of their organizations, including subordinate components and regional- and field-level offices. These budgetary procedures and requirements may directly support and enable organizations' ability to meet the all criteria for a viable Continuity capability.
- **To ensure effective continuity capabilities, the Tribal governments should consider:**
- Using a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources.
- Integrating budgets with a multiyear strategy and a program management plan, and link the budgets directly to objectives and metrics set forth in that plan.
- Providing for the acquisition of those resources necessary for continuity operations on an emergency basis.
- Budgeting and acquiring continuity capabilities as referenced in NSPD-51/HSPD-20 and the National Communications System's Directive 3-10 (continuity communications), as applicable.



Continuity Program Budgeting

When developing continuity budgets or making acquisition decisions, Tribal governments should also consider:

- Identifying the budgetary requirements for addressing continuity interdependencies in the performance of internal and other agencies' essential functions.
- Additional continuity factors such as probabilities of occurrence, mission priorities, and impact assessments, as part of the continuity risk management methodology.



211

Instructor Notes

- **Budget and Acquisitions Considerations**
- When developing continuity budgets or making acquisition decisions, a Tribal government should also consider:
 - Identifying the budgetary requirements for addressing continuity interdependencies in the performance of internal and other Tribal government's essential functions.
 - Additional continuity factors such as probabilities of occurrence, mission priorities, and impact assessments, as part of the continuity risk management methodology.
 - Coordinating with the pre-established procurement mechanisms.
- Further, cost may also be a consideration, because informed decisions about acceptable and unacceptable levels of risk will ultimately drive the expenditure of resources (e.g., money, people, and time) to mitigate risk.



Summary and Transition

Questions?



212

A presentation slide with a light blue background and a dark blue border. The title "Summary and Transition" is at the top. A large dark blue speech bubble in the center contains the text "Questions?". The FEMA logo is in the bottom left, and the number "212" is in the bottom right. A decorative feather graphic is in the top left corner.

Instructor Notes

- Ask if anyone has any questions on anything covered in this unit.



Summary and Transition

This unit covered:

- Continuity Budgeting and Acquisition of Resources.

Next unit:

- Continuity Plan Operational Phases and Implementation.



213

Instructor Notes

- Summarize by telling the students that this unit has covered key steps in understanding the Continuity Budgeting and Acquisition of Resources.
- Transition to the next unit by explaining that Unit 16 will cover Continuity Plan Operational Phases and Implementation.



Operational Phases and Implementation

Unit 16: Continuity Plan Operational Phases and Implementation objectives:

- Provide an understanding of the four phases.
- Continuity planning related to phases II-IV.
- Assist planners in understanding a phase-based approach to developing a successful continuity program.



214

Instructor Notes

- Explain to the students that developing a continuity plan without fully addressing requirements of the four operational phases diminishes the Tribal governments ability to implement a successful continuity program.
- Also explain to the students that Tribal leadership participation throughout all four phases is essential for success.
- **Instructor Note:** This section will only address phases II-IV, since readiness and preparedness have already been covered in previous units.

A slide titled "Operational Phases and Implementation" with a central blue speech bubble containing the text "What are Implementation Procedures?". The slide includes the FEMA logo in the bottom left and the number "215" in the bottom right. A decorative feather graphic is in the top left corner of the slide.

Operational Phases and Implementation

What are Implementation Procedures?

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215

Instructor Notes

- **What are Implementation Procedures?**
- Allow the group time to respond before displaying the next visual.



Implementation Procedures

The Tribal government must be prepared to implement executive decisions that are based upon a review of the emergency, and determine the best course of action based on agency's readiness posture. The Tribal government should integrate implementation procedures and criteria into its continuity plans. The Tribal government's continuity plan should address the four phases of (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the Tribal government's essential functions before, during, and after an emergency or disaster and under all conditions.



216

Instructor Notes

- FCD 1 and CGC 1 suggest that Tribal governments should develop Implementation procedures that allows for a review of the emergency and a determination of the best course of action based on the Tribal Government's readiness posture.
- To support the four operational phases, it is necessary to have addressed all elements and components of your continuity program. A decision matrix for continuity plan activation that addresses all-hazards that may occur with or without warning aids the decision-making process when activating your plans.



Four Continuity Operational Phases

While there are four continuity operational phases this section will focus on phases II-IV:

- Phase I: Readiness and Preparedness.
- Phase II: Activation and Relocation (0-12 hours).
- Phase III: Continuity Operations (from 12 hours to 30 days or until normal operations have resumed).
- Phase IV: Reconstitution (recovery, mitigation, and termination).



217

Instructor Notes

- Remind the group that the Continuity Operational Phases include four phases. This unit will focus on phases II-IV.
 - Phase II: Activation and Relocation (0-12 hours)
 - Phase III: Continuity Operations (from 12 hours to 30 days or until normal operations have resumed)
 - Phase IV: Reconstitution (recovery, mitigation, and termination)
- Tell the group that you will cover each phase separately at this point.
- **Instructor Note:** Limit the discussion in this topic to the activities required to support these Phase II, III and IV of Continuity of Operations. Readiness and Preparedness have been covered in previous units.



Phase II: Activation and Relocation

Phase II: Activation and Relocation (0-12 hours)

- Leadership.
- Orders of succession.
- Delegations of authority.
- Devolution.
- Continuity of Operations implementation decision process.
- Alert, notification, and implementation.



218

Instructor Notes

- Explain that Phase II: Activation and Relocation involves the activation of the Continuity plan and the relocation of the ERG to the continuity facility. In the Continuity plan, leadership positions should be listed together with their orders of succession and delegations of authority.
- When considering devolution, determine what must occur if both the existing location and the continuity facility are unavailable and key personnel are incapacitated or otherwise unable to implement the standard Continuity activities.
- Phase II of the Concept of Operations should also describe the alert, notification, and implementation process and how it will occur and the relationship between the Continuity Plan and the Occupant Emergency Plan (OEP).

The slide content is contained within a white rectangular area with a blue border. It features a title, a descriptive paragraph, a bulleted list, a clock image, and a FEMA logo. The slide number '219' is in the bottom right corner.

Phase III: Continuity Operations

Phase III: Continuity Operations (from 12 hours to 30 days or until normal operations have resumed)

- Operations.
- Mission-critical systems.
- Vital records and databases.



219

Instructor Notes

- Phase III: Continuity Operations describes actual continuity operations at the continuity facility. Phase III is also part of the process of preimplementation, where the Tribal government defines and identifies its mission-critical systems and addresses the method of transferring and storing them at the alternate site.
- The Tribal government must also identify its vital records and databases.
- Point out to the students that the Continuity plan includes a subdivision of vital records and databases into basic office components:
 - General office functions
 - Key office functions
 - Continuity POC coordination and IT functions
- The Continuity plan also may include identification of how the records are maintained, their current locations, how they are stored or transported to the alternate site, and how they are backed up.



Phase IV: Reconstitution

Phase IV: Reconstitution

- Recovery.
- Mitigation.
- Termination.



220

Instructor Notes

- Explain that Phase IV: Reconstitution describes how the Tribal government attempts to recover its original location. During Phase IV, the Tribal government will determine if the location is habitable or can be made habitable. If the location cannot be used, another location must be identified.
- After space has been identified, employees are systematically relocated, and normal operations are reestablished, continuity operations will be terminated.
- Review the Concept of Operations with the group, pointing out the various types of information that are included within each phase.
- Ask if anyone has any questions before continuing.



Developing Continuity Procedures

FCD-1 and CGC 1 include procedures for:

- Notification and relocation to one or more continuity facilities.
- Orientation of Continuity personnel and conducting operations and administration at continuity facilities.
- Acquiring resources necessary to continue essential functions and sustain operations for up to 30 days or until normal operations resume.



221

Instructor Notes

- Introduce this topic by telling the group that Annex A of FCD 1 and CGC 1 addresses that a Continuity plan include procedures for:
 - Notifying and relocating Continuity personnel to one or more continuity facilities.
 - Orienting Continuity personnel and conducting operations and administration at continuity facilities.
 - Acquiring resources necessary to continue essential functions and sustain operations for up to 30 days or until normal operations can be resumed.
 - Tell the group that, while these requirements are a good start, they do not comprise a complete list of procedures. As the Continuity program develops and expands, there will be a need to augment the Continuity plan with the supporting procedures listed on this visual and many others.
- **Instructor Note:** Again, be sure to reiterate to the students that these two documents serve a different purpose.
 - FCD 1, *Federal Executive Branch National Continuity Program and Requirements*, This Federal Continuity Directive (FCD) provides direction to the Federal executive branch for developing continuity plans. All Federal executive departments and agencies are required to follow the provisions of FCD 1.
 - CGC 1, *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)* is a guidance document to provide direction to non-federal entities for developing continuity plans and programs.

A slide titled "Developing Continuity Procedures" with a central blue speech bubble containing the text "Why are Continuity of Operations procedures important?". The slide includes the FEMA logo in the bottom left and the number "222" in the bottom right. There is also a decorative feather graphic in the top left corner of the slide area.

Developing Continuity Procedures

Why are Continuity of Operations procedures important?

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222

Instructor Notes

- **Why are Continuity of Operations procedures important?**
- Allow the group time to respond before displaying the next visual.
- If not mentioned by the group, explain that procedures are important because they provide the “how” behind the “what” of the Continuity plan. Procedures formally document all protocols and processes for the identified audience to follow.



Why Are Procedures Important?

- Procedures provide the "how" behind the "what" of the Continuity plan.
- Procedures formally document all protocols and processes for the identified audience to follow.



223

Instructor Notes

- Ask the students to review the Continuity of Operations phases again and to think about the kinds of procedures the Tribal government programs and personnel will require.





Developing Continuity Procedures

Day-to-day operations. Personnel readiness procedures/instructions:

- Activation readiness.
- Deployment readiness.
- Operational readiness.
- Family readiness.




224

Instructor Notes

- Refer the students to the visual. Point out that day-to-day operations is not a phase outlined in FCD 1 and CGC 1. Nonetheless, many Continuity activities must take place before the plan has been activated. Some procedures during day-to-day operations, therefore, should be developed to support Continuity of Operations.
- Personnel readiness is essential to successful execution of any Tribal government's Continuity plan. In fact, personnel readiness is the cornerstone for effective plan execution. If the Continuity staff is not fully prepared to deploy and function during a Continuity situation, the Tribal government will be less effective.
- Many of the activities required to ensure personnel readiness during an emergency must be accomplished prior to an emergency—during day-to-day operations.
- Procedures should be written that identify personnel readiness measures that Continuity personnel can complete during normal operations to ensure their readiness for each Continuity operational phase. Both professional and personal readiness should be stressed. These procedures can be documented in a Continuity personnel handbook, which should be published separately from the Continuity plan.
- **Instructor Note:** Stress that personal and family support planning is integral to effective Continuity operations. Family support planning will be covered in detail later in this course.



What is Continuity of Operations?

Day-to-day operations. Continuity vital files, records, and databases:

- Identification of materials and resources.
- Recurring and systematic updates.
- Resource protection measures.



225

Instructor Notes

- Remind the group of the importance of identifying and maintaining vital records.
- Consider developing procedures that outline the process for identifying, updating, and protecting vital records. The procedures should identify who or which office is responsible.
- If the Tribal government's vital records will be stored electronically on a server, specific procedures should be developed to outline how:
 - The server can be accessed.
 - The files should be transferred.
 - How often the files should be transferred.



Phase II: Activation and Relocation

- Activation procedures.
- Alert/notification procedures.
- Deployment procedures.



226

Instructor Notes

- This visual suggests three types of procedures that should be developed to support Phase II: Activation and Relocation.
- Each type of procedure will be discussed next.



Phase II: Activation and Relocation

Activation procedures:

- Respond to the alert/notification process.
- Participate in the call-down as instructed.
- Obtain "go kits," if necessary.
- Follow guidelines in the OEP and continuity plans for activation during duty hours.
- Prepare to execute deployment procedures to report to an alternate site.



227

Instructor Notes

- Activation procedures are a must. These procedures should be very explicit and instruct Continuity personnel on the actions they are to take during activation.
- As a minimum, activation procedures should cover:
 - How personnel should respond to the alert/notification process.
 - How personnel will participate in the call-down.
 - Where to get "go kits," if they are necessary.
 - How Continuity activation relates to the Occupant Emergency Plan (OEP) if activation occurs during duty hours.
 - What personnel should do to deploy and report to an alternate site.



Phase II: Activation and Relocation

Alert/notification procedures:

- Specify roles and responsibilities for all personnel.
- Identify how employees will be contacted.
- Indicate the timeframe in which the call-down sequence should be completed.
- Explain the testing process and schedule for drill alerts.
- Include prescribed messages.



228

Instructor Notes

- Another important step is formalizing the call-down protocols and developing written procedures that encompass all of the individuals involved in the activation. These protocols should describe the entire alert/notification process:
 - The roles and responsibilities of all personnel:
 - Who initiates the call-down.
 - How call-down results are reported.
 - The means by which personnel will be contacted.
 - How will personnel be contacted.
 - How personnel should respond.
 - The timeframe in which the call-down sequence should be completed (for both duty and nonduty hours).
 - How the procedures will be tested and how often drills will be conducted.
- Urge the group to develop prescribed call-down messages that are representative of the types of situations anticipated for Continuity activation. The use of prescribed messages will facilitate activation should it become necessary.
- Alert/notification procedures should be developed as a stand-alone document and should be distributed to all personnel. Urge the group to consider integrating these protocols into the Continuity plan, by reference, as part of the activation procedures to ensure that the Continuity plan is comprehensive.



Phase II: Activation and Relocation

Deployment procedures:

- Deployment instructions.
- Map/directions to the continuity facility.
- Description of “go kits” and instructions for their use.
- Administrative and logistics information.



229

Instructor Notes

- Deployment procedures should be developed in detail and distributed to all Continuity personnel. As a minimum, these procedures should include:
 - Deployment instructions—where and when to report, means of transport, what to bring, etc.
 - Map/directions to the continuity facility.
 - A description of the “go kits” and instructions for their use.
 - Administrative and logistics information for the continuity facility—parking, security, badging, points of contact, etc.
- The purpose of developing written deployment procedures is to ensure that all Continuity personnel know where and when to report to the continuity facility.
- **Instructor Note:** Stress the need to test deployment procedures regularly to ensure that Continuity personnel are continuously ready to deploy to an alternate site and establish an operational capability within 12 hours of plan activation.



Phase III: Continuity Facility Operations

Phase III procedures:

- Personnel accountability.
- Status reporting.
- Communications/information technology.
- Orders of succession and delegations of authority.



230

Instructor Notes

- Tell the group that certain procedures are required to support operations at the continuity facility. At a minimum, procedures for continuity facility operations should include:
 - Personnel accountability.
 - Status reporting.
 - Communications/information technology.
 - Orders of succession and delegations of authority.
- Some of these procedures may be used only at the alternate site, and they should be detailed enough for Continuity personnel to follow after deployment. Others, such as those for implementing orders of succession or delegations of authority, can be implemented independently of Continuity plan activation.
- **Instructor Note:** Point out that orders of succession, delegations of authority, and other procedures that are independent of Continuity plan activation should be incorporated into the Continuity plan by reference.



Phase III: Continuity Facility Operations

Personnel accountability procedures:

- How attendance will be tracked and by whom.
- Where personnel should report upon arrival.
- Who will prepare the attendance report.
- How the report will be forwarded to senior management.



231

Instructor Notes

- Tell the group that personnel accountability will be extremely important during Continuity operations because attendance will affect the Tribal government's ability to perform its Continuity mission.
- Personnel accountability procedures should include:
 - How attendance will be recorded and tracked and who will track it.
 - Where Continuity personnel should report when they arrive onsite and how they should report in.
 - Who will prepare the attendance report for the Tribal government or its components.
 - How the report will be forwarded to senior management.
- These procedures should be developed based on the check-in method that will work best for both Continuity personnel and the continuity facility.



Phase III: Continuity Facility Operations

Status reporting:

- Purpose of status reports.
- Report format.
- Preparation, review, and approval.
- Submission.
- Frequency.

232

Instructor Notes

- Point out that all Tribal governments also should acknowledge the requirement to prepare status reports for their senior leadership. To ensure that these reports are prepared correctly and submitted on time, consider developing procedures to support the status reporting process. These procedures should include information about:
 - The purpose of the report.
 - The format in which the report must be prepared.
 - The appropriate review and approval of the reports.
 - Who will prepare the report.
 - Who will review it.
 - Who will approve it.
 - Who should receive copies of status reports.
 - How the reports will be submitted.
 - How often reports should be prepared.
- Each Tribal government or individual that will be involved in the development, approval, or submission of the report should receive a copy of the procedures. Additionally, the procedures should outline clearly all responsibilities for status reporting.



Phase III: Continuity Facility Operations

Communications:

- Internal/external calling.
- Setting up/changing passwords.
- Accessing voicemail.
- Forwarding/transferring calls.
- Conducting conference calls.
- Using cryptographic ignition keys for secure calls.



233

Instructor Notes

- The development of explicit communications procedures will help support Continuity of operations at the continuity site. Continuity personnel must be able to establish and maintain an operational posture at the continuity facility, and it is critical that they have communications assets and procedures in place.
- The development of communications and IT procedures is contingent on the completion of communications and IT readiness activities at the continuity facility. It is not possible to develop procedures for communications and IT systems until that equipment has been acquired and installed.
- Procedures should be developed to support the successful use of specific types of equipment. For communication equipment, procedures should minimally include the bullets covered on this visual.



Phase III: Continuity Facility Operations

Information technology:

- General computer/laptop use.
- Setting up/changing passwords.
- Accessing the network.
- Accessing the Internet.
- Accessing data stored on the server.
- Accessing e-mail.



234

Instructor Notes

- Tell the group that this visual includes suggestions for IT procedures. Stress again that procedures cannot be developed until the equipment is acquired and installed.
- **Instructor Note:** Urge the students to include IT specialists on the planning team to develop and publish procedures as a workstation reference for Continuity personnel.



Phase III: Continuity Facility Operations

Orders of succession/delegations of authority:

- Who implements the line of succession.
- Conditions under which transfer of leadership and authority will occur.
- Who is involved in the process.
- Who needs to be advised.
- How the transfer back to more senior leadership occurs.



235

Instructor Notes

- Recommend that procedures be developed that detail how orders of succession and delegations of authority will be implemented. These procedures should include:
 - Who will make the decision to implement the line of succession.
 - Conditions under which transfer of leadership will take place.
 - Who will be involved in the process.
 - Who needs to be advised.
 - How the decision to transfer leadership back to a more senior leader will be made and how the process will be executed.
- These procedures should be included in the Continuity plan and should be provided to individuals who would be involved in the process of implementing lines of succession or delegations of authority.



Phase IV: Reconstitution

Reconstitution procedures:

- Personnel notification.
- Transfer of Continuity materials.



A photograph showing several people in a room, possibly a control room or office, engaged in an activity. One person is standing near a large blue cabinet or wall-mounted display, while others are in the background.



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236

Instructor Notes

- Tell the group that much of the information needed to plan a successful return to normal operations at a new or reconstituted facility may not be available until Continuity operations are underway.
- Stress that reconstitution is situation-dependent and will be based on the resources and personnel available to support the transfer. Even so, Tribal governments can develop some procedures for the two important activities listed in the visual:
 - Personnel notification.
 - Transfer of Continuity materials.

A slide titled "Phase IV: Reconstitution" with a list of requirements for personnel notification. It includes the FEMA logo and the number 237 in the bottom right corner.

Phase IV: Reconstitution

Personnel notification should:

- Resemble the notification procedures used to alert and activate.
- Specify the timeframe for notification.
- Indicate the means of notification.
- Identify the responsible person/organization to authorize and implement.



237

Instructor Notes

- Explain that the process for notifying personnel to return to work should closely mirror the process used to notify them of Continuity plan activation. Suggest that the students adapt the alert and notification procedures for reconstitution and treat them as a separate set of procedures in the Continuity plan.
- Notification procedures for reconstitution should be distributed to all personnel because they apply to all personnel, not just Continuity personnel.
- The principal differences between the notification process used for activation and that used during reconstitution will be the:
 - Timeframe in which the notification should be accomplished.
 - Means of notification.
- The person or organization with the authority to implement Reconstitution should be identified.
- Notification to return to work can be accomplished over a longer period of time and via different means. Public media outlets may be a viable means of notification and should be considered for reconstitution. Commercial, high-speed notification services are also available. Regardless of how notification is made, it should identify the person or organization responsible for preparing the information to be disseminated.



Phase IV: Reconstitution

Information and materials transfer:

- Tasks required to save and transfer information and materials.
- Tracking measures for files, documents, etc., that have been modified or created during Continuity activation.
- How and when to save files.



238

Instructor Notes

- Explain that during Continuity of Operations, senior management will have the responsibility for developing detailed procedures for the transfer of operations back to the original building or to another facility. Baseline procedures can be developed and incorporated into the Continuity plan with a statement that more detailed procedures will be developed during Continuity operations.
- The procedures should explain the tasks that Continuity personnel should complete to:
 - Save and transfer information and materials.
 - Track files, documents, and other materials that have been modified or created during Continuity operations to ensure that they are transferred back to the reconstituted Tribal government.
 - Save files to a particular server. The procedures should also outline how often the files should be saved.
- Ask if anyone has any questions before continuing.

A presentation slide with a light blue background and a dark blue border. At the top, the text "Summary and Transition" is written in a dark blue serif font. In the center, a large dark blue speech bubble contains the word "Questions?" in white. In the bottom left corner, there is a circular FEMA logo. In the bottom right corner, the number "239" is displayed. A small graphic of a Native American headdress is located in the top left corner of the slide's content area.

Summary and Transition

Questions?

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239

Instructor Notes

- Ask the participants if they have any further questions regarding Reconstitution of Operations.



Summary and Transition

This unit covered:

- Continuity Plan Operational Phases and Implementation

Next unit:

- Course Summary



240

Instructor Notes

- Summarize by telling the students that this unit has covered key steps in Continuity Plan Operational Phases and Implementation.
- The next unit will include the summary and adjournment of the course.



Course Summary

Unit 17: Course summary objectives:

- Provide a review of major lessons learned during this course.
- Provide a methodology for determining the extent your Continuity planning and program.
- Provide an overview of available Continuity training.
- Determine the next steps for your Continuity planning and program.



241

Instructor Notes

- Introduce this unit by telling the group that they will have an opportunity to consider what they have learned during this session and develop “next steps” in their Continuity program planning processes.
- This unit will provide a summary of the course with the following objectives:
 - Provide a review of major lessons learned during the course.
 - Provide a methodology for determining the extent your Continuity planning and program.
 - Provide an overview of available Continuity training.
 - Determine the next steps for Continuity program planning.



Lessons Learned

- Definition of Continuity of Operations.
- The Benefits of Continuity programs.
- Legal and policy documentation for Continuity planning.
- The ten Essential Elements of a viable continuity program.
- The four Supporting Components of Continuity that provide the foundation of a viable continuity program.



242

Instructor Notes

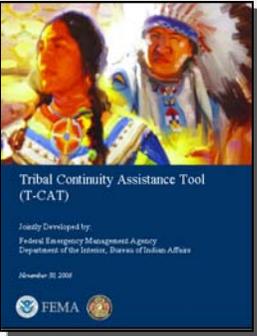
- Remind the students of the major areas covered by this course. Refer the participants back to the units that addressed:
 - The definition of Continuity of Operations
 - The benefits of Continuity programs.
 - The legal and policy underpinnings of Continuity of Operations.
- Remind the students that the legal and policy foundation of the program is in NSPD 51/HSPD 20 and the NCIIP.
- Also remind the participants that FCD 1 and CGC 1 identify the four supporting components and ten essential elements of a viable Continuity capability:
- The ten essential elements of a viable Continuity capability are:
 - Essential Functions
 - Orders of Succession
 - Delegations of Authority
 - Continuity Facilities
 - Continuity Communications
 - Vital Records
 - Human Capital
 - Test, training, and exercises
 - Devolution of Control and Direction
 - Reconstitution Operations
- The four components that make up the foundation of the continuity program:
 - Program Plans and Procedures.
 - Risk Management.
 - Budgeting and Acquisition of Resources.
 - Continuity Plan Operational Phases and Implementation



Identifying Your Continuity Capability

Tribal Continuity Assistance Tool (T-CAT).

- An assistance template to identify program strengths and areas for improvement
- Allows for comprehensive program review.
- Used to analyze your Tribal government's continuity capability to ensure essential functions remain operational during an all hazards emergency.
- Includes the ten elements of a viable Continuity Program and the four components of the Continuity Program Foundation.



243

Instructor Notes

- Display the T-CAT CD on the screen and show the class how to navigate the document.
- Scroll to a sample item, and lead a discussion of how the class would answer the item or how they would find the item.
- Distribute the Tribal Continuity Assistance Tool (T-CAT) CD and Users Guide. Explain that the T-CAT can be completed on paper or electronically.



Continuity of Operations Training

In addition to this Continuity course for Tribal Governments, the following courses are available through the Emergency Management Institute:

- Continuity of Operations (COOP) Awareness Course (IS546).
- Introduction to Continuity of Operations (COOP) Course (IS547).
- Continuity of Operations Program Managers Train-the-Trainer (TTT) (E/L548)
- Continuity of Operations (COOP) Planning Train-the-Trainer (TTT) (E550).
- Building Design for Homeland Security for Continuity of Operations (COOP) Train-the-Trainer (TTT) (E156).
- Exercise Design (IS139).

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244

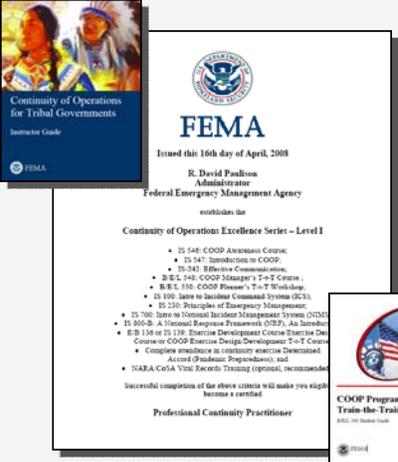
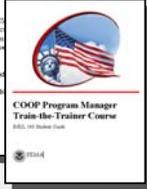
Instructor Notes

- Encourage participants to attend the above FEMA-sponsored Continuity of Operations courses. Participants should also consider the following training:
 - Encourage participants to attend FEMA tribal courses, including:
 - E580, Emergency Management Framework for Tribal Governments
 - E581, Emergency Operations for Tribal Governments
 - E344, Mitigation for Tribal Officials
 - Tell participants that IS 650, Working in Partnership with Tribal Governments, helps non-tribal people relate respectfully and appropriately to tribal governments.
- Other important training includes web-based NIMS courses that can be taken as independent studies:
 - IS 100, An Introduction to ICS
 - IS 200, Basic ICS for Single Resources and Initial Action Incident
 - IS 700, NIMS An Introduction
 - IS 800.B, NRF An Introduction
- The Emergency Management Institute (EMI) link for Independent Study Courses is <http://training.fema.gov/IS/crslist.asp>.
 - ICS 300-level classroom courses provide the foundations of the Incident Command System.



Continuity of Excellence Credentialing

- The Continuity of Operations for Tribal Government Course meets the requirements of and may be substituted for the E/L-548 Continuity of Operations Managers Course in the Continuity Excellence Series - Continuity Practitioner Certification Program.

245

Instructor Notes

- The FEMA Administrator established the Continuity Excellence Series - Level I, Professional Continuity Practitioner and Level II, Master Continuity Practitioner on April 16, 2008
- This effort is dedicated to enhancing the excellence in the development and implementation of Continuity programs
- The FEMA Emergency Management Institute will issue all certificates
 - Send certificate requests and supporting documentation (not originals) to EMI
 - Include your name, work address, work phone number, and e-mail with your request
- Expect to wait up to one month to receive your certificate



Next Steps

What are your next steps to build continuity when you return to your work place?

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246

Instructor Notes

- Ask the group:
 - What are your next steps to build continuity when you return to your work place?
- Facilitate a class discussion around the participants response to “next steps”. Ask the participants to record their proposed “next steps” and allow them a few minutes to write their responses down. For example:
 - Tribal leadership support.
 - Attend additional training.
 - Complete the Tribal Assistance Tool.

A slide titled "Final Thoughts or Questions" with a blue speech bubble in the center containing the text "Final Questions?". The slide includes the FEMA logo in the bottom left corner and the number "247" in the bottom right corner. A decorative feather graphic is in the top left corner of the slide area.

Final Thoughts or Questions

Final Questions?

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247

Instructor Notes

- This opportunity should be taken to ask the students if they have any final questions before the course is adjourned.
- Thank the students for their participation and encourage them to continue their Continuity of Operations activities when they return to their normal duties.
- Encourage the students to ask questions and seek help through all available resources.
- The instructors should offer their contact information if the students have any follow up questions after they return to their duty stations.



Course Hot Wash

- Course Strengths
- Areas for Improvement
- Turn in Participant Questionnaires



248

Instructor Notes

- The Hot Wash is a facilitated discussion that allows players to engage in an assessment of the course. The hot wash also provides facilitators with the opportunity to clarify points about the course of instructions. The Hot Wash is conducted immediately after the instruction. The hot wash is led by an experienced facilitator who can ensure that the discussion remains brief and constructive, and who can focus conversation on strengths and areas for improvement.
- During the Hot Wash, facilitators distribute Participant Feedback Forms to obtain information on perceptions of the course instruction. This information can provide insight into future improvements in training. Participant Feedback Forms are collected at the end of the Hot Wash and reviewed by the instructional team to augment existing information.



Course Adjournment

Thank you for attending this session.

If you need additional information, please contact FEMA's National Continuity Programs Directorate (NCPD).



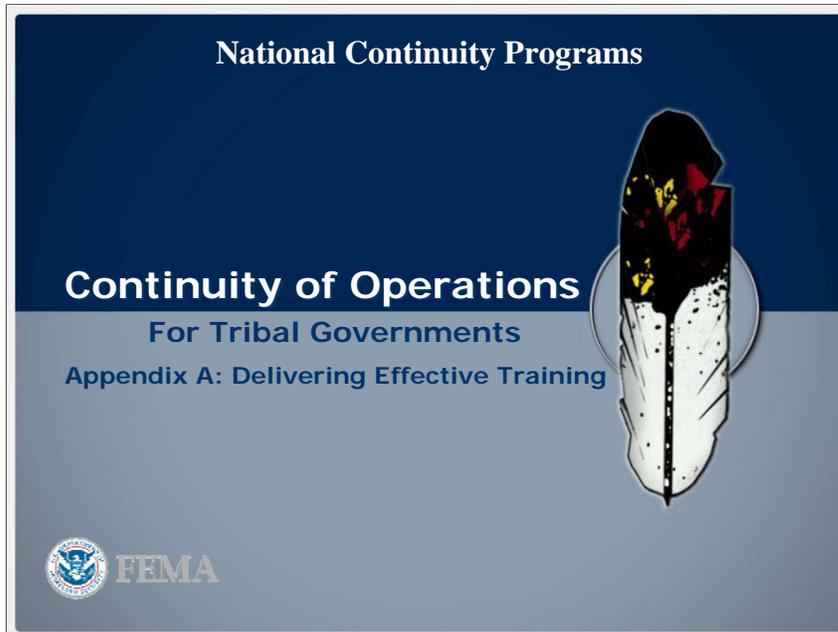
249

Instructor Notes

- Thank the participants for attending this session. Urge the participants to contact the National Continuity Programs Directorate if they are in need of assistance when developing their Continuity capabilities.
- Invite a designated member of the host tribe or another tribal representative to conduct a closing ceremony for the occasion.



Instructor Notes



Instructor Notes

- Annex A: Train the Trainer Module



Introduction and Overview

- Introduction and Overview objectives:
 - Establish an environment that is conducive to learning.
 - Make a training presentation.
 - Conduct exercises and lead group discussions.
 - Manage classroom interaction.
 - Handle difficult students.



2

Instructor Notes

- Review the unit objectives. Then ask students to think about a particularly good training course they have attended. Then, ask the following question:
- **What made the training effective?**



What You Will Learn

- Some answers may include:
 - The environment was conducive to learning.
 - The instructor was knowledgeable in the subject matter.
 - The course content was targeted to the audience's needs.
 - The course activities supported the content.



3

Instructor Notes

- Allow the students time to respond. Record their responses on chart paper. Some of the students' responses should include:
 - The environment was conducive to learning.
 - The instructor was knowledgeable in the subject matter and skilled in delivering the material.
 - The course content was targeted to the audience's needs.
 - The course activities supported the content and were relevant to the audience.



What You Will Learn

Are you confident that you could do all the mentioned skills to make this training effective?

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4

Instructor Notes

- How many of you feel confident that you could do all of the mentioned skills to make this training effective?
- Allow time for a show of hands.



What You Will Learn

- Although there is no time in this session to perfect your skills, you will improve your skills and make this course more effective.



5

Instructor Notes

- Acknowledge that, although there is no time in this session to perfect their skills, the students will improve their skills and make this course more effective.



What You Will Learn

- How to:
 - Establish an environment that is conducive to learning.
 - Make a training presentation.
 - Conduct exercises and lead group discussions.
 - Manage classroom interactions.
 - Handle difficult students.
 - Use training evaluation results to improve training.



6

Instructor Notes

- Tell the group that at the end of this unit, they should be able to:
 - Establish an environment that is conducive to learning.
 - Make a training presentation.
 - Conduct exercises and lead group discussions.
 - Manage classroom interactions.
 - Handle difficult students.
 - Use training evaluation results to improve training.
 - Ask if anyone has any questions about what will be covered in this unit.



What You Will Learn

Have you felt “left out” during training because of a personal characteristic?

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7

Instructor Notes

- **How many of you have felt “left out” or ostracized during training because of some character trait or personal characteristic?**
- Allow for a show of hands. Ask one or two students if they would mind sharing their experiences.
- Facilitate a brief discussion about the experiences, how the students felt at the time, and what the Instructor could have done to prevent the situation.
- Explain that it is the Instructor’s responsibility to establish an environment that is conducive to learning. Stress that establishing a good learning environment involves more than ensuring that the room temperature is comfortable. It involves:
 - Treating all students equally.
 - Accommodating different learning styles.
 - Accommodating different levels of proficiency and motivation.
 - Then, display the next visual.



Cross-Cultural Training Issues

- Avoid . . .
 - Situations that cause a “loss of face.”
 - Analogies, metaphors, expressions, or stories that are culturally or gender-based.
 - Symbols or graphics that could offend others.
 - Jokes or humor that could offend others.



8

Instructor Notes

- Review the cross-cultural training issues presented in the visual. Stress that, as instructors, the group should avoid:
 - Situations that cause any student “loss of face.” These situations may include:
 - Calling on people. While it is preferable for all students to participate actively in the training, calling on people who do not wish to participate or who clearly do not know the answer to a question may cause embarrassment and further withdrawal from the learning.
 - Appearing to favor one participant may be embarrassing to the participant and to others who feel that they are not as knowledgeable as the favored student.
 - Cutting off students who wish to participate, may make them feel that their input is not valuable or welcome.
 - Analogies, metaphors, expressions, or stories that are culturally or gender-based.
 - Symbols or graphics that could offend others.
 - Jokes and humor that may offend others.



Adult Learner Characteristics

- Adults . . .
 - See themselves as responsible, self-directed, and independent.
 - Tend to avoid, resist, and resent not being treated as adults.
 - Should be treated as resources as well as learners.

9

Instructor Notes

- Tell the group that adults have specific characteristics that affect how they learn.
Adults:
 - See themselves as responsible, self-directed, and independent.
 - Tend to avoid, resist, and resent not being treated as adults.
 - Should be treated as resources as well as learners.

The slide features a light blue background with a dark blue border. At the top left, there is a small graphic of a Native American headdress. The title "Adult Learner Characteristics" is written in a dark blue serif font. In the center, a large blue speech bubble contains the text "What can you do to capitalize on adult learners' independence?". At the bottom left, the FEMA logo is displayed, and at the bottom right, the number "10" is visible.

Adult Learner Characteristics

What can you do to capitalize on adult learners' independence?

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10

Instructor Notes

- **What are some things that trainers can do to capitalize on an adult learner's independence?**
- Allow the group time to respond. If not mentioned by the group, suggest that trainers can capitalize on adult learners' independence by:
- Providing activities that facilitate problem solving.
- Facilitating creativity through brainstorming.
- Solicit other ideas from the group, and make suggestions based on your own learning characteristics.



Adult Learner Characteristics

- Adults . . .
 - Learn when they perceive a need or identify disadvantages of not learning.
 - Are more motivated when training:
 - Explains the “whys.”
 - Is related to personal goals.
 - Focuses on “real world” situations.



11

Instructor Notes

- Point out that adults:
 - Learn when they perceive a need or identify disadvantages of not learning.
 - Are more motivated when training:
 - Explains the “whys” behind the “whats.”
 - Is related to personal goals.
 - Focuses on “real world” situations.



Adult Learner Characteristics

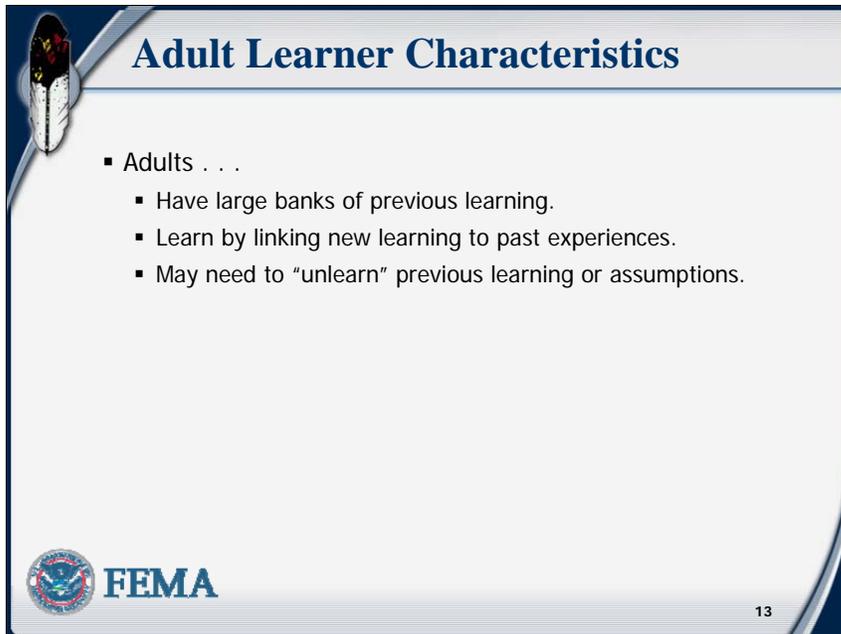
What can you do to ensure that learners see their training as useful?

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12

Instructor Notes

- **What can trainers do to ensure that learners see their training as useful?**
- Allow the group time to respond. If not mentioned by the group, suggest that:
 - Examples and activities should be tailored to the audience.
 - Training content should be made relevant to their jobs.
 - Solicit other examples from the group.



Adult Learner Characteristics

- Adults . . .
 - Have large banks of previous learning.
 - Learn by linking new learning to past experiences.
 - May need to “unlearn” previous learning or assumptions.

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13

Instructor Notes

- Continue describing the characteristics that affect how adults learn.
- Adults:
 - Have large banks of previous learning.
 - Learn by linking new learning to past experiences.
 - May need to “unlearn” previous learning or assumptions.



Adult Learner Characteristics

- Lessons learned from previous experiences are routinely fed back to ensure that personnel build on past experience to improve current or future performance.
- After-action reports work on the same premise.



14

Instructor Notes

- Remind them of how many times in this training they have been asked for their own examples and experiences to support some point in the learning. Explain that this is one way to build on previous learning.
- Suggest also that after-action reports work on the same premise. Lessons learned from previous experiences are routinely fed back to ensure that personnel build on past experience to improve current or future performance

A presentation slide with a light blue background and a dark blue border. At the top left, there is a small graphic of a Native American headdress. The title "Adult Learner Characteristics" is written in a dark blue serif font. In the center, a large dark blue speech bubble contains the text "What does 'active learning' mean to you?" in white. At the bottom left is the FEMA logo, and at the bottom right is the number "15".

Adult Learner Characteristics

What does “active learning” mean to you?

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15

Instructor Notes

- **What does “active learning” mean to you?**
- Allow the group time to respond. Then display the next visual.



Adult Learner Characteristics

- Studies show that 3 days after learning new
- information, adults retain:
 - 10% of what they read.
 - 20% of what they hear.
 - 30% of what they see.
 - 50% of what they see and hear.
 - 70% of what they say.
 - 90% of what they say as they do.



16

Instructor Notes

- **Instructor Notes**
- Studies show that 3 days after learning new information, adults retain:
 - 10% of what they read.
 - 20% of what they hear.
 - 30% of what they see.
 - 50% of what they see and hear.
 - 70% of what they say.
 - 90% of what they say as they do.

A slide titled "Adult Learner Characteristics" with a question in a speech bubble. The slide includes the FEMA logo and the number 17 in the bottom left corner.

Adult Learner Characteristics

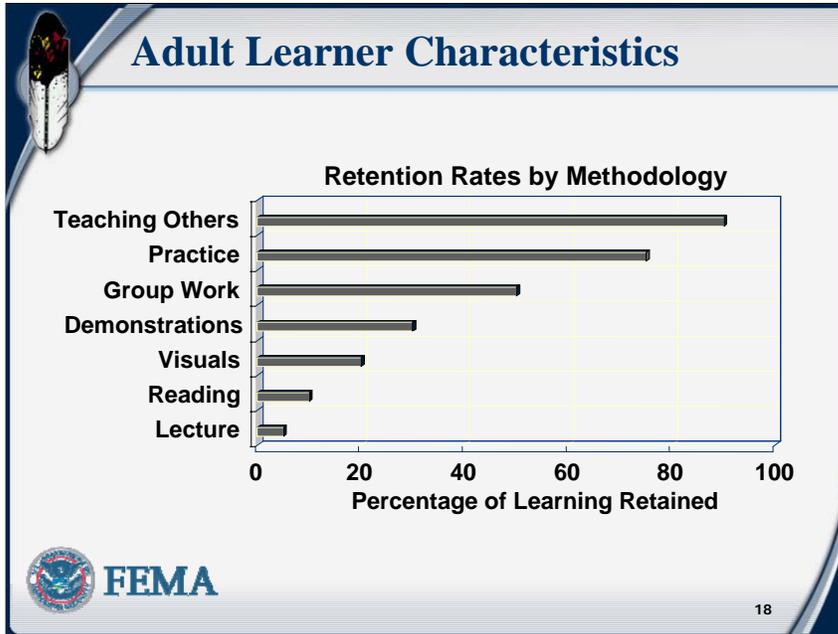
What does this information tell you about the training methods you should use?

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17

Instructor Notes

- **What does the information in the visual tell you about the training methods you should use?**
- Allow the group time to respond. Stress that, because adults learn in different ways, a variety of training methods should always be used. However, adults learn best by doing, so training should always be as active as possible.
- Display the next visual.



Instructor Notes

- Tell the group that this visual illustrates retention rates among adult learners by methodology.
- Explain that the percentages shown in this visual are actually cumulative. For example, to be able to teach others, the students would first need to receive the new information through lecture, reading, or demonstrations.
- Stress that the important point to take away from this chart is that active learning will increase the odds that the skill or knowledge will be retained and used on the job.
- Active learning can be enhanced by:
 - Letting the students share their experiences.
 - Involving the students throughout the training by using discussions and activities.
 - Soliciting feedback from the students throughout the training.
 - Ask if anyone has any questions before continuing.
- **BEFORE SHOWING THE STUDENTS THE NEXT SLIDE, READ THE INSTRUCTOR NOTES AND CONDUCT THE EXERCISE AS DESCRIBED.**



Activity: Understanding Your Audience

Intelligence	Pot	Flower
Terrorism	Truth	Encryption
Knife	Table	Meaning
Justice	Fork	Field
Bird	Pen	Analysis
Tree	Stream	Pencil
Watch	Wisdom	
	Security	

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19

Instructor Notes

- **Purpose:** The purpose of this activity is to illustrate how adults apply information they see.
- **Preparation:** Prior to the session, write the words on chart paper in the order shown in Step 2 below. To show the different types of words, use different color markers for each of the following categories: **Associated with job (Green):** Intelligence, Terrorism, Security, Encryption, Analysis; **Abstract (Red):** Justice, Truth, Wisdom, Meaning; **Concrete (Blue):** Knife, Bird, Tree, Watch, Pot, Table, Fork, Pen, Stream, Flower, Field, Pencil.
- **Instructions: Do not introduce this exercise.** Begin directly with the learning experience by following the steps below.
- Tell the students that you are about to read a list of items. Explain that they should listen while you read the list.
- Read the following list of items:
- **Intelligence, Terrorism, Knife, Justice, Bird, Tree, Watch, Pot, Truth, Table, Fork, Pen, Stream, Wisdom, Security, Flower, Encryption, Meaning, Field, Analysis, Pencil**
- Ask the students to write down all of the words that they can remember.
- Display the visual and chart paper listing the words as shown above. Read each word and ask how many students recalled that word. Tally the number next to the word.

The slide content is contained within a white rounded rectangle with a blue border. In the top left corner of this rectangle is a small graphic of a Native American headdress. The title 'Activity: Understanding Your Audience' is centered at the top. Below the title is a bulleted list of techniques for enhancing learning. At the bottom left of the rectangle is the FEMA logo, and at the bottom right is the number '20'.

Activity: Understanding Your Audience

- Techniques for Enhancing Learning:
 - Create a strong beginning and ending.
 - Make the middle of the training memorable.
 - Changing training methods/media
 - Reenergizing the group
 - “Hook” new learning to existing frameworks through stories, analogies, and association.
 - Break training into chunks.

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20

Instructor Notes

- **What do you observe about the words that were recalled most?**
- **Did you recall any words that were not on the list? If so, why do you think you added these words?**
- Display the visual.
- Summarize the discussion by making the following points:
 - **Beginnings and Endings**: People tend to remember more from the beginning and end of a learning session. Participants may have recalled the beginning words: “Intelligence, terrorism, and knife” and the ending words: “Analysis and pencil.”
 - **Concrete Versus Abstract**: People tend to remember information that they can turn into a visual image. It is harder to create a visual image for the words: “justice, truth, and wisdom” than for concrete words such as “stream, pencil, knife, and carbon.”
 - **Association**: People tend to remember more when they can associate the information with something important to them. For example, the words “Intelligence, terrorism, security, and encryption” may have been easy to remember, because they were associated with the job.



Activity: Understanding Your Audience

Was it confusing when the list of words changed to a random list?

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21

Instructor Notes

- Was it confusing when the list of words changed from job-associated words to a more random list?



Activity: Understanding Your Audience

- New information is hooked to old information. When the words changed from Intelligence-related terms, you were left to search for places to hook the information to. By the time you found the right hooks, several new terms had come and gone.



22

Instructor Notes

- Allow the students time to respond. Summarize the discussion by explaining that when taking on new information, people look for associations. Point out that new information is hooked to old information. Explain that when the words changed from Intelligence-related terms, the participants were left to search for places to hook the information to. By the time they found the right hooks, several new terms had come and gone.



Activity: Understanding Your Audience

- People tend to remember more information when it is presented in clusters or groups.



23

Instructor Notes

- Point out that people tend to remember more information when it is presented in clusters or groups.
- Ask if anyone has any questions about the points made during this activity.



Making Presentations

What are the characteristics of effective presenters?

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24

Instructor Notes

- **What are the characteristics of effective presenters?**



Making Presentations

- Characteristics of effective instructors:
 - Attending to the audience
 - Observing the audience
 - Using nonverbal behaviors
 - Using the voice



25

Instructor Notes

- Record the students' responses on chart paper. Display the next visual to summarize the discussion.
- Point out that all of the students' comments can be categorized into:
 - Attending to the audience.
 - Observing the audience.
 - Using nonverbal behaviors.
 - Using the voice.



Attending to the Audience

- DO:
 - Clear your mind of distractions.
 - Face the students.
 - Maintain a relaxed but attentive stance.
 - Draw people in by walking toward them.
- DON'T:
 - Talk with your back to the group.
 - Place a barrier between you and the students.
 - Stand in a fixed position, fidget, or shift your weight.

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26

Instructor Notes

- Describe the Dos and Don'ts from the visual.
- Do:
 - Clear your mind of distractions. Listen to what the students have to say, and observe their nonverbal behaviors.
 - Face the students.
 - Maintain a relaxed but attentive stance. The students will pick it up if you are tense and they will pay more attention to you than to the training.
 - Draw people in by walking toward them.
- Don't:
 - Talk with your back to the group.
 - Place a barrier between you and the students. Physical barriers can become barriers to learning.
 - Stand in a fixed position, fidget, or shift your weight.
- **Instructor Note:** Use nonverbal behaviors to demonstrate the different dos and don'ts on the list.
- Ask the students if there are any additional tips they would add to the list.



Attending to the Audience

What keeps you from being able to attend fully to the students?



27

Instructor Notes

- Continue the discussion by asking the following question.
- **During a training session, what keeps you from being able to attend fully to the students?**
- List the students' responses on chart paper.



Common Distractions for Instructors

- Lack of familiarity with the materials
- “Difficult” students
- Side conversations
- Audio-visual issues



28

Instructor Notes

- Summarize the discussion by pointing out that the distractions listed on the visual are very common.



Attending to the Audience

What can trainers do to overcome these barriers?

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29

Instructor Notes

- **What can trainers do to overcome these barriers?**
- Allow the students time to respond. Then, display the next visual.



Observing the Audience

- DO:
 - Be aware of nonverbal behaviors.
 - Scan the room and be aware of your blind spots.
 - Share observations with students.
- DON'T:
 - Just look at the students, see them.
 - Stare at any one spot or person for too long.
 - Bury your head in notes or materials.



30

Instructor Notes

- Review the points on the visual.
- Do:
 - Be aware of the students' nonverbal behavior. You can learn as much from what the students don't say as what they do.
 - Scan the room and be aware of your blind spots. Walk around the room to view the participants from different perspectives and provide insight into participation and interest levels.
 - Share observations with students, when appropriate.
- Don't:
 - Just look at the audience, see them. Pay attention to individual behaviors and nuances.
 - Stare at one spot or person for too long.
 - Bury your head in your notes or materials.
- **Instructor Note:** If time allows, complete this optional activity:
 - Select a student and ask him or her to freeze in position.
 - Ask the class to describe what the nonverbal behavior may be communicating.
- Summarize this activity by reviewing the key points made by the students.

A graphic of a Native American headdress with colorful feathers, positioned in the top left corner of the slide.

Observing the Audience

- DO:
 - Use natural facial expressions.
 - Show enthusiasm through expressions and body movements.
 - Be aware of energy lows and develop methods for avoiding dips.
- DON'T:
 - Appear insincere.
 - Use behaviors that could be seen as negative or judgmental.
 - Use distracting gestures.

The FEMA logo, featuring a circular seal with an eagle and the text "FEMA" in blue.

31

Instructor Notes

- Tell the group that nonverbal behaviors are important for establishing a good learning environment.
- Review the points on the visual.
- Do:
 - Use natural, positive facial expressions. Expressions that appear artificial will be picked up by the group and will affect how receptive the group is to the training.
 - Show enthusiasm through expressions and body movements.
 - Be aware of energy lows and develop methods for avoiding dips. Everyone experiences energy lows. When an instructor exhibits low energy, his or her energy levels “rub off” on the group.
- Don't:
 - Appear insincere.
 - Use behaviors that could be seen as negative or judgmental.
 - Use distracting gestures.

A slide titled "Using Nonverbal Behaviors" with a question in a speech bubble. The slide includes the FEMA logo and the number 32 in the bottom left corner.

Using Nonverbal Behaviors

What can you do to deal with potential energy dips?

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32

Instructor Notes

- As an instructor, what can you do to deal with potential energy dips?



Using Nonverbal Behaviors

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



33

Instructor Notes

- Allow the students time to respond. If not mentioned by the group, suggest that they:
 - Identify their likely energy cycles ahead of time.
 - Schedule an activity when they are likely to hit an energy lull.
 - Eat a light lunch.
 - Call a break and get some fresh air during the break.



Using Nonverbal Behaviors

What nonverbal behaviors have a negative impact on your audience?

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34

Instructor Notes

- **What nonverbal behaviors have a negative impact on your audience?**
- Allow the group time to respond.



Negative Nonverbal Behaviors

- Those behaviors that:
 - Appear negative.
 - Appear stern.
 - Provide negative feedback.



35

Instructor Notes

- **What nonverbal behaviors have a negative impact on your audience?**
- If not mentioned by the group, explain that nonverbal behaviors that may have a negative impact on a training audience are those that appear:
 - Threatening, or
 - Stern.
- To provide negative feedback.
- Stress that adults do not respond well to being reprimanded or being treated poorly. Learning is decreased when adults feel threatened.
- Ask if anyone has any questions before continuing.



Using Your Voice

- DO:
 - Speak loud enough to be heard.
 - Vary the pace of your presentation.
 - Slow down for important points.
- DON'T:
 - Speak in a monotone voice.
 - Be afraid to pause.



36

Instructor Notes

- Tell the group that the instructor's voice also contributes to—or detracts from—learning.
- Review the points on the visual.
- Do:
 - Speak loud enough to be heard. Use a microphone, if necessary, to make the voice carry.
 - Vary the pace of the presentation.
 - Slow down for important points. Allow the students time to think about important points and to synthesize the information.
- Don't:
 - Speak in a monotone voice. There are a few things that an instructor can do to turn off a class and the fastest is to use a monotone voice. Learn to vary voice tone and pitch to keep the instruction interesting.
 - Be afraid to pause. Pauses are among the most important techniques an instructor can use. Pausing helps the instructor to gather his or her thoughts—and allows the students to consider the instructor's message. Pauses always feel longer to the instructor than the audience.
- Ask if anyone has any questions before continuing.



Using Training Media

Have you attended a course where the media didn't work?

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37

Instructor Notes

- **Have any of you attended a course, either as an instructor or a student, where the media didn't work as intended?**
- Allow the students time to respond.
- Then ask the following question.

A slide titled "Using Training Media" with a blue speech bubble containing the text "What did that do to the training?". The slide includes the FEMA logo in the bottom left corner and the number "38" in the bottom right corner. A small graphic of a Native American headdress is in the top left corner of the slide frame.

Using Training Media

What did that do to the training?

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38

Instructor Notes

- **What did that do to the training?**
- Allow the students time to respond.



Effects of Nonworking Media

- Content can't be presented as intended.
- The instructor's timing is thrown off.



39

Instructor Notes

- Summarize the discussion by stressing that media that doesn't work as and when it should can ruin training when:
 - Content can't be presented as intended.
 - The instructor's timing is thrown off.



Using Training Media

- DO:
 - Practice on and test all equipment.
 - Have a backup plan.
 - Label light switches.
 - Organize items by lesson and groups.
- DON'T:
 - Use media without previewing it.
 - Allow media to distract you.
 - Assume that flashy materials take the place of good instructors.



40

Instructor Notes

- Tell the group that they can eliminate many media problems during training by taking the following steps:
- DO:
 - Practice on and test all equipment. Each type of equipment is a little bit different. Even different models made by the same manufacturer may differ in how they work. Only testing and practicing with the equipment before the training begins can prevent delays or malfunctions during training.
 - Have a backup plan. Bad things can happen, even after good planning. Having a backup plan—ranging from spare bulbs to presentation strategies without using media—can save the training.
 - Label light switches within the training room so the instructor can go right to the switches needing to be turned off or on.
 - Organize items by lesson and groups. Organizing media by lessons can reduce the time lost looking for something during the training. Organizing by group (i.e., when different groups require different materials) reduces time lost in conducting activities.
- DON'T:
 - Use media without previewing it. Previewing media will help the instructor become familiar with the learning points—and help identify media that is off target or inappropriate for the group.
 - Allow media to be distracting to the training.
 - Assume that flashy materials take the place of good instructors. Regardless of how “slick” media are, they cannot take the place of a good, knowledgeable instructor with good presentation techniques.



Putting Yourself at Ease

“There are two types of speakers. Those who get nervous and those who are liars.”
—Mark Twain

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41

Instructor Notes

- Introduce this topic by relating a personal situation where you needed to overcome nervousness as a trainer.



Putting Yourself at Ease

What can you do to put yourself at ease before and during training?

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42

Instructor Notes

- What can you do to put yourself at ease before and during training?



Putting Yourself at Ease

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



43

Instructor Notes

- Allow the group time to respond. If not mentioned by the group, suggest that they:
 - Prepare ahead of time.
 - Practice and visualize the presentation.
 - Do relaxation exercises (e.g., deep breathing, stretching).
 - Connect with the audience ahead of time.
 - Use nervousness as positive energy.
 - Maintain a sense of humor.
 - Realize that the students want them to succeed.
 - Understand that it's okay to pause to gather thoughts.
- Ask if anyone has any questions before continuing.



Facilitating Discussions

What is the difference between presenting and facilitating?

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44

Instructor Notes

- **What is the difference between presenting and facilitating?**
- Prepare a chart that looks like the one below.

Presenting	Facilitating

- Record the students' responses on the chart paper. Then compare the students' feedback with the key facilitation skills on the next visual.



Facilitating Discussions

- Encourage involvement
- Ask questions
- Respond to answers
- Answer questions
- Lead discussions
- Lead exercises
- Provide feedback



45

Instructor Notes

- Tell the group that facilitation skills involve:
 - Encouraging involvement.
 - Asking questions.
 - Responding to answers by:
 - Listening.
 - Paraphrasing.
 - Responding or redirecting.
 - Answering questions.
 - Leading discussions.
 - Leading exercises.
 - Providing feedback.



Facilitating Discussions

What techniques have been used in this training to encourage interaction?



46

Instructor Notes

- **What techniques have been used in this training to encourage interaction?**
- Allow the group time to respond. If not mentioned, remind the students that this training has included:
 - Open-ended questions.
 - Discussions.
 - Activities.
- Facilitate a brief discussion about additional tips that the students would add to the list.



Facilitating Discussions

- Use questions to:
 - Encourage participation.
 - Generate curiosity and thinking.
 - Foster discussion.
 - Check student understanding.
 - Get feedback on the training.



47

Instructor Notes

- Tell the group that asking questions is the easiest method for encouraging interactions.
- Use questions to:
 - Encourage participation.
 - Generate curiosity and thinking.
 - Foster discussion.
 - Check student understanding.
 - Get feedback on the training.
- Suggest that the students ask open-ended questions, which require more than a one- or two-word response to open up discussion.
- Explain that, sometimes instructors need to ask direct questions. Ask direct questions when:
 - There is a controversial discussion.
 - Time is tight.
 - A quick read on the group is needed.
- Stress the importance of not answering your own questions. Note that, if you answer your own questions, the students will assume that they don't need to answer your questions in the future.



Facilitating Discussions

- Responding to student answers:
 - Listen
 - Paraphrase
 - Respond or redirect



48

Instructor Notes

- Explain that responding to student answers requires that instructors:
 - Listen.
 - Paraphrase.
 - Respond or redirect.



Facilitating Discussions

What are the barriers to effective listening?

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49

Instructor Notes

- **What are the barriers to effective listening?**
- Allow the group time to respond. If not mentioned by the group, suggest that some of the barriers include:
 - Thinking about the next presentation point.
 - Worrying about the time.
 - Paying attention to other students who are not speaking.
 - Classroom noise from air conditioning, etc.
- Point out that instructor fatigue also presents a barrier to effective listening. Explain that it is extremely difficult to remain alert to all of the verbal and nonverbal stimuli in the classroom for an extended period of time.



Facilitating Discussions

- Paraphrasing demonstrates that you
- listened by:
 - Restating the speaker's statements and feelings.
 - Using your own words.
 - Remaining neutral.



50

Instructor Notes

- Paraphrasing demonstrates that the instructor has listened to the student because the instructor is able to:
 - Restate the speaker's statement and feelings.
 - Restate using his or her own words, rather than parroting what the student said.
 - Remain neutral—expressing neither agreement nor disagreement (verbally or nonverbally).
- Stress that paraphrasing should:
 - Sound natural.
 - Accurately capture the feelings and content being expressed verbally and nonverbally.



Facilitating Discussions

Unclear	<ul style="list-style-type: none">▪ Allow time to rephrase or clarify.
Correct	<ul style="list-style-type: none">▪ Acknowledge correct answers.
Incorrect	<ul style="list-style-type: none">▪ Guide the individual.▪ Allow other students to help.



51

Instructor Notes

- This visual presents some guidelines for responding to students' answers.
- Note that instructors need to strike a balance between answering questions and redirecting the questions so that the students will interact with each other. Continue by explaining that there are several techniques that instructors can use based on the situation.
- If someone is likely to know the answer, redirect the question to the group or an expert within the group.
- If only the instructor knows the answer, answer the question and follow it with another discussion question.
- If the answer is controversial or if the student asks an off-topic question, offer to talk to the individual during a break or use a "parking lot" to list and refer issues for resolution.
- If no one knows the answer, suggest where the answer might be found, and make a commitment to find the answer.



Facilitating Discussions

What techniques have you used to “jump-start” a group discussion?

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52

Instructor Notes

- **What are some techniques that you have used to help “jump-start” a group discussion?**
- Allow the group time to respond. Summarize the discussion by reminding the group that techniques used to jump-start a group discussion are largely dependent on the group and the content and may include:
 - Videos.
 - Questions.
 - Role play.
- Display the next visual.



Facilitating Discussions

1. State the purpose.
2. Create opportunities for everyone to participate.
3. Warn the students before ending the discussion.
4. Summarize the discussion.



53

Instructor Notes

- Review the tips for facilitating group discussions:
- State the purpose. A statement of purpose provides direction to the group and helps to keep the discussion focused.
- Create opportunities for everyone to participate. Often, one or more strong personalities will try to dominate the discussion. Just as often, some of the more quiet students have valuable insights for the group. Drawing quiet students into the discussion benefits everyone by including a range of experiences and insights.
- Warn the students before ending the discussion. Asking the students for final comments or telling them that you will only take one more comment sends a signal that it is time to move on.
- Summarize the discussion. Summarizing the points of agreement and disagreement from the discussion lets the students know that you've listened to what they had to say and offers an opportunity to transition to the next topic.
- Ask if anyone has any questions before continuing.



Managing the Classroom

- Managing the physical environment.
- Preparing the instructor team.
- Managing the clock.
- Making midcourse corrections.
- Handling difficult students.



54

Instructor Notes

- Introduce this topic by telling the group that there is much more to conducting training than just presenting course content and facilitating discussions. Instructors are responsible for everything from classroom setup, to arranging logistics, to handling difficult students.
- This topic will cover some of the tasks required for managing the classroom to maximize learning. It will cover:
 - Managing the physical environment.
 - Preparing the instructor team.
 - Managing the clock.
 - Making midcourse corrections.
 - Handling difficult students.



Managing the Classroom

What are the pros & cons?

55

Instructor Notes

- Ask the students to review the seating arrangements shown on the visual.
- **What are the pros and cons of each arrangement?** Allow the group time to respond. If not mentioned by the group provide the information shown below.
- **Setup Pros and Cons:**
- **A:**
 - Creates the maximum level of interactivity.
 - Requires a large space.
 - Difficult to use with groups larger than 50.
- **B:**
 - Allows for interaction and discussion.
 - May be difficult to see the front of the room from all locations.
 - Cannot be used with large groups.
- **C:**
 - Allows for the maximum number of students in a small space.
 - Difficult for students to interact with each other.
- **D:**
 - Allows for interaction and discussion.
 - Requires that some students have their backs to the instructor.



Managing the Classroom

Why do you think we've selected this classroom arrangement?

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56

Instructor Notes

- **Why do you think we've selected this classroom arrangement?**
- Allow the students time to respond. If not mentioned by the group, explain that this classroom is arranged in small groups to:
 - Facilitate small group activities.
 - Maximize interaction between and among the students.
- Ask if anyone has any questions or anything that they want to add about course logistics.



Managing the Classroom

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

57

Instructor Notes

- Stress the importance of the instructor team working well together. Suggest that the students develop an instructor team by meeting before the training to:
 - Agree on responsibilities for instruction.
 - Agree to ground rules for working together.
 - Prepare guest speakers.
- Conduct a “dry run” to become familiar with the classroom, the materials, and the equipment.
- Develop a plan to touch base to give each other feedback and input during breaks.
- Develop a plan to debrief at the end of each day.
- Emphasize the importance of getting feedback from each other throughout the training session.



Managing the Classroom

- Break management tips:
 - Take a break about every hour.
 - Watch for nonverbal signs that a break is needed.
 - Try to find natural breaking points.
 - Enforce break time limits.



58

Instructor Notes

- Remind the group of the importance of providing frequent breaks that are well managed. Suggest that, as instructors, the students should:
 - Take a break every hour or so.
 - Watch for nonverbal signs that a break is needed.
 - Try to find natural breaking points.
 - Enforce break time limits. Begin at the designated time even if some students have not returned.



Managing the Classroom

- Making midcourse corrections:
 - Collect continuous feedback from the students.
 - Adjust the pace of the training.
 - Use breaks to reassess and adjust.
 - Substitute less time-consuming activities.
- Ensure that corrections allow you to achieve all learning objectives!

59

Instructor Notes

- Review the points for making midcourse corrections with the group. Stress that:
 - When adjusting the pace of the training, the instructor needs to accommodate the learning needs of the students.
 - It is preferable to substitute a less time-consuming activity than eliminate activities or opportunities for student/group interaction.
- Remind the students that they need to achieve all learning objectives, regardless of midcourse corrections that may be necessary.



Managing the Classroom

If you're running tight on time, what types of quick interactions can you use with a group?



60

Instructor Notes

- If you are running tight on time, what types of quick interactions can you use with a group?



Managing the Classroom

- Having the entire group complete an exercise together.
- Reducing the number of questions or activities.
- Giving the group part of the answer and have them work on completing the remainder of the activity.



61

Instructor Notes

- Allow the group time to respond. If not mentioned by the group, suggest:
 - Having the entire group complete an exercise together.
 - Reducing the number of questions or activities.
 - Giving the group part of the answer and have them work on completing the remainder of the activity.



Managing the Classroom

How many of you have been in a class with difficult students?

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62

Instructor Notes

- **How many of you have been in a class with one or more difficult students?**
- Allow for a show of hands. Then select one of the responding students and ask if he or she knows how the instructor handled the situation.



Managing the Classroom

- Dealing with difficult students:
 - Take action before others get frustrated.
 - Preserve a positive learning environment.
 - Don't compromise the individual's self esteem.



63

Instructor Notes

Summarize the student's response, and suggest that the students deal with difficult students:

- By taking action before others get frustrated—but not so soon that you discourage debate and interaction.
- While preserving a positive learning environment.
- Stress that, as instructors, they should not compromise the individual's self-esteem by humiliating him or her in front of the class. Suggest that they meet with the student during a break and try to handle the situation privately.
- Point out that the other students will often handle difficult students themselves. If that occurs, stress that, the instructor must ensure that the situation does not get out of hand.
- Ask if anyone has any questions on anything covered in this unit before continuing.



Activity: Pulling It All Together

- Getting ready:
 - Become familiar with the Instructor Guide.
 - Review the learning objectives.
 - Gain an understanding of the content.
 - Highlight the key learning points.
 - Tailor the content to your target audience.



64

Instructor Notes

- **Purpose:** The purpose of this activity is to provide the students an opportunity to prepare for, present, and critique a 30-minute presentation that demonstrates effective instructional delivery skills.
- **Instructions:** Follow the steps below to conduct this activity:
 - Assign the students to pairs to complete this activity.
 - Explain that you will assign each pair of students a portion of the Tribal Continuity of Operations course to present.
 - Suggest that, to prepare, each pair should:
 - Become familiar with the format of the Instructor Guide.
 - Review the lesson objectives.
 - Gain a complete understanding of the content.
 - Highlight the key learning points.
 - Tailor the content to your target audience by marking up the Instructor Guide with their own words, examples, and experiences.

The slide content is contained within a white rounded rectangle with a blue border. It features a Native American headdress graphic in the top left corner. The title "Activity: Pulling It All Together" is centered at the top. Below the title is a bulleted list item. At the bottom left is the FEMA logo, and at the bottom right is the number 65.

Activity: Pulling It All Together

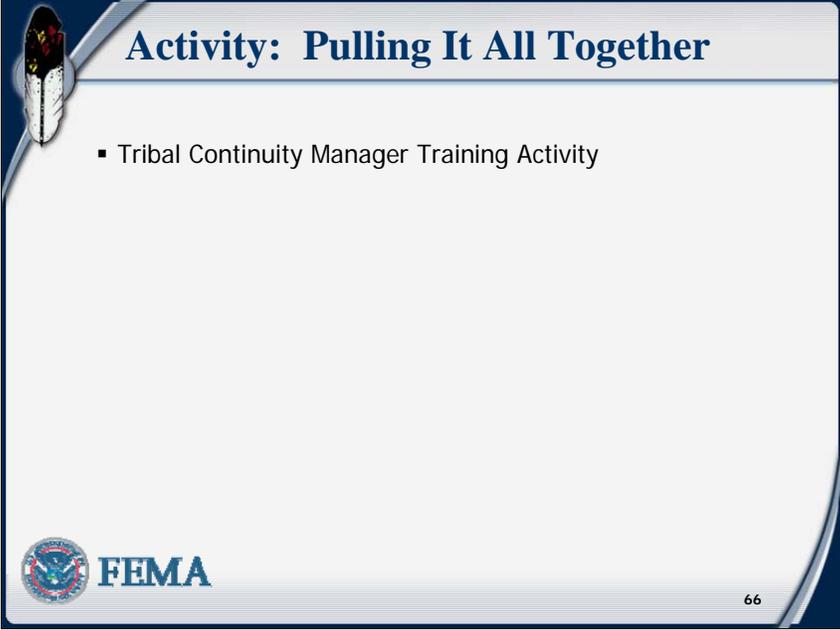
- Tribal Continuity Manager Training Activity

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65

Instructor Notes

- Provide the following preparation tips:
 - Read the entire lesson before doing anything to it. Make sure that you have the “big picture.”
 - Reach agreement on who will present what portions of the material.
 - Go back through the lesson. Highlight key points and tailor the content.
 - Complete all activities.
 - Visualize yourself presenting the training.
 - Arrange all of the materials and handle other logistics needed to present the lesson.
- Assign the presentations to pairs/groups of participants.



Activity: Pulling It All Together

- Tribal Continuity Manager Training Activity



66

Instructor Notes

- If students make presentations from the *Continuity of Operations for Tribal Governments* course, you will need two extra Instructor Guides. You may make other assignments, however.
- Ask if anyone has any questions about their assignments.
- Tell the class when the first presentation will begin and that they will critique each presentation, including their own.
- Develop a schedule for the presentations, and provide information about breakout areas.



Summary

Final Thoughts or Questions?

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67

Instructor Notes

- At the conclusion of the instruction, conduct a brief (10- to 15-minute) critique. Allow the students to critique the course and ask for honest and open. Stress that feedback must be:
 - Constructive.
 - Specific.
 - Concise.
- This opportunity should be taken to ask the students if they have any final questions before the course is adjourned.
- Thank the students for their participation and encourage them to continue their Continuity of Operations activities when they return to their normal duties.
- Encourage the students to ask questions and seek help through all available resources.
- The instructors should offer their contact information if the students have any follow up questions after they return to their duty stations.



Instructor Notes



#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Communications Capabilities
1.	MEMBER SERVICES: Operate community health care clinics <ul style="list-style-type: none"> ▪ Receive patients who are eligible for tribal health care services. ▪ Provide appropriate treatment or referrals. ▪ Maintain medical records. 				
2.	MEMBER SERVICES: Operate tribal hospitals <ul style="list-style-type: none"> ▪ Receive and treat patients in emergency rooms and outpatient facilities. ▪ Receive patients and provide inpatient hospital care. ▪ Maintain medical records. 				
3.	MEMBER SERVICES: Operate dialysis facilities <ul style="list-style-type: none"> ▪ Receive and treat patients in dialysis facilities. ▪ Provide patient transportation as needed. ▪ Maintain medical records. 				
4.	MEMBER SERVICES: Operate tribal educations facilities <ul style="list-style-type: none"> ▪ Provide educational services during scheduled times. ▪ Provide participant transportation as needed. ▪ Maintain participant records. 				
5.	MEMBER SERVICES: Provide tribal housing <ul style="list-style-type: none"> ▪ Build and maintain housing ▪ Manage housing 				



#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Communications Capabilities
6.	MEMBER SERVICES: Provide child care services <ul style="list-style-type: none"> ▪ Provide care during scheduled times. 				
7.	MEMBER SERVICES: Issue member support payments. <ul style="list-style-type: none"> ▪ Maintain membership entitlement records and systems. ▪ Issue scheduled payments. 				
8.	MEMBER SERVICES: Member information <ul style="list-style-type: none"> ▪ Inform members of locations and schedules of tribal services. 				
	MEMBER SERVICES:				
9.	SAFETY AND SECURITY: Enforce tribal laws and regulations <ul style="list-style-type: none"> ▪ Provide law enforcement services 				
10.	SAFETY AND SECURITY: Protect tribal members <ul style="list-style-type: none"> ▪ Provide Emergency Services: Fire, Ambulance (Basic and Advanced Life Support) 				
11.	SAFETY AND SECURITY: Provide security services. <ul style="list-style-type: none"> ▪ Provide security for casinos and other tribal facilities. ▪ Provide security for visitors to tribal facilities. 				



#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Communications Capabilities
12.	<p>SAFETY AND SECURITY: Provide communications capability for tribal emergency responders</p> <ul style="list-style-type: none"> ▪ Maintain a communications network that is interoperable among tribal and nontribal local responders. ▪ Maintain wireless capability. 				
13.	<p>SAFETY AND SECURITY: Protect historic and sacred sites.</p> <ul style="list-style-type: none"> ▪ Identify threats to sites. ▪ Monitor site status. ▪ Take appropriate protective action. 				
	<p>SAFETY AND SECURITY:</p>				
14.	<p>INFORMATION TECHNOLOGY: Tribal Member records</p> <ul style="list-style-type: none"> ▪ Maintain automated tribal records. ▪ Maintain and update tribal birth and enrollment files. 				
15.	<p>INFORMATION TECHNOLOGY: Financial records and transactions</p> <ul style="list-style-type: none"> ▪ Maintain and update automated financial/accounting databases and systems. <ul style="list-style-type: none"> ○ Employee financial data ○ Payroll data ○ Member payments ○ Assets and accounts ○ Purchase data ○ Tax records 				



#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Communications Capabilities
16.	INFORMATION TECHNOLOGY: Inventory data <ul style="list-style-type: none"> ▪ Maintain an automated tribal property inventory and tracking system. 				
17.	INFORMATION TECHNOLOGY: <ul style="list-style-type: none"> ▪ Maintain databases and systems that process operational and financial information related to tribal enterprises. 				
	INFORMATION TECHNOLOGY:				
18.	ECONOMIC SECURITY: Tribal enterprises <ul style="list-style-type: none"> ▪ Protect enterprises from damage and disruption. 				
	ECONOMIC SECURITY:				



Tribal Essential Functions Matrix Worksheet					
#	Mission Essential Function	Number of Personnel	Equipment and Systems	Vital Records and Databases	Supplies
1.	OTHERS:				
2.					
3.					
4.					



Orders of Succession Worksheet

Position Title	Successors
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.



Delegations of Authority Worksheet

	Responsible Official	Immediate Successor	Notification Procedures	Limits of Authority
Declare emergency				
Declare emergency				
Order evacuations				
Approve emergency expenditures				
Hire and fire employees				
Establish staffing policies				
Approve MOUs* and MOAs**				
Request Mutual Aid and contract services				
Other:				

*A Memorandum of Understanding (MOU) is a document describing a bilateral or multilateral agreement between parties. It expresses a convergence of will, indicating an intended common line of action. An MOU is most often used in cases where parties do not intend to imply a legal commitment.

**A Memorandum of Agreement (MOA) is a document written between parties to cooperatively work together on an agreed upon project or meet an agreed upon objective. The purpose of an MOA is to have a written understanding of the agreement between parties.