

Business Continuity Plan

SOUTH ORANGE COUNTY COMMUNITY COLLEGE DISTRICT

10 May 2022

South Orange County Community College District
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Promulgation Statement

The South Orange County Community College District's ("SOCCCD" or "the District") mission is to provide a dynamic and innovative learning environment for diverse learners of all ages, backgrounds and abilities. SOCCCD promotes access, success and equity to meet each student's goals of skills development, certificate, associate degree, transfer or personal enrichment. SOCCCD contributes to the economic vitality of the region.

To accomplish this mission, the District must ensure its most important and time critical operations are performed efficiently and with minimal disruption, especially during an emergency. This document provides guidance for implementing the Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

The Chancellor of the District, or designee, has the authority and responsibility for the direction and control of the resources for district-wide business continuity emergencies. This Plan supersedes any previous SOCCCD Business Continuity Plans. It provides a framework in which SOCCCD can perform its responsibility to prepare and respond to business continuity emergencies during disasters or threats to public safety.

The Plan was developed in concurrence with district-wide Business Continuity Planning Committee and complies with federal, state, and local statutes and agreements made with the various agencies identified herein. It shall be periodically reviewed and revised by the Business Continuity Planning Committee in accordance with federal and state guidelines. It is the responsibility of district-wide departments and personnel identified in this Plan to advise the Business Continuity Planning Committee of any changes that may result in its improvement or increase its effectiveness.

Kathleen F. Burke, Ed.D.
Chancellor
South Orange County Community College
District

Confidentiality Statement

This document along with subsidiary plans and supporting documents, contains information classified as restricted. These documents are to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the standard procedures followed for restricted information at SOCCCD and are not to be released without prior approval of the Chancellor or designee to the public or other employees who do not have a valid “need to know.”

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1. Business Continuity Planning Process

Continuity planning is simply the good business practice of ensuring the execution of essential functions and provision of critical services and core capabilities through all circumstances. Today's threat environment and the potential for no-notice emergencies, including localized natural hazards, accidents, technological emergencies, and terrorist attack-related incidents, underscore the need for strong continuity planning that enables all communities, organizations, and entities to continue essential functions across a broad spectrum of emergencies.¹

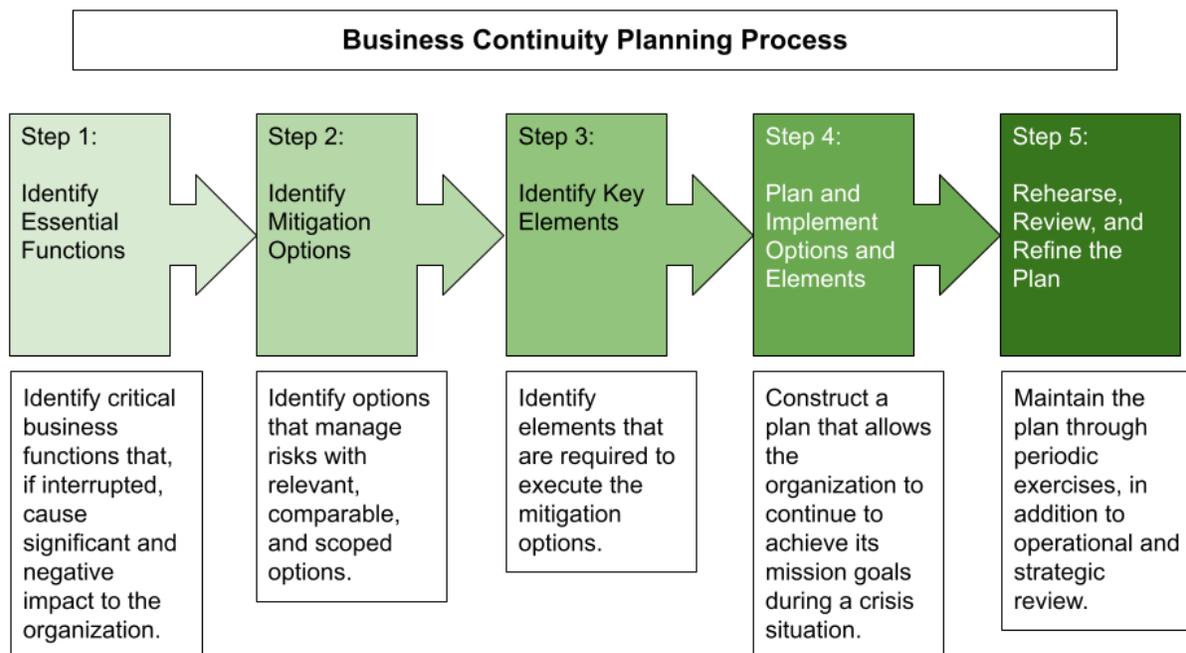


Figure 1: Business Continuity Planning Process

This Plan:

- Implements the mandatory provisions required by the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS)
- Addresses important considerations for mitigation, preparedness, response, and recovery activities
- Is a flexible, multi-hazard plan

¹ Federal Emergency Management Agency, Continuity Guidance Circular, February 2018, p 13.

2. Essential Functions

An organization's Essential Functions (EFs) are time critical, intrinsic tasks that cannot be left undone for 30 days without risking failure of the organization's mission or loss of trust, respect, and funding. A function is defined as essential if that function must be performed during an emergency.²

2.1 Business Impact Analysis Summary

SOCCCD's essential functions are embedded in its mission statement, which is:

*We provide a dynamic and innovative learning environment for diverse learners of all ages, backgrounds and abilities. We promote access, success and equity to meet each student's goals of skills development, certificate, associate degree, transfer or personal enrichment. We contribute to the economic vitality of the region.*³

From that statement, the following EFs are derived:

1. The institution demonstrates strong commitment to student learning and student achievement.
2. The institution provides learning programs and learning support services.
3. The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness.
4. The institution establishes governance structure, processes, and practices that facilitate decisions to support student learning programs and services and improve institutional effectiveness.

Accomplishing these EFs requires that SOCCCD address the following threats:

- A. Loss of or impaired access to data
 - a. Natural or manmade incidents might affect access to data stored in the campus data warehouse or in with a cloud storage provider.
 - b. For example: Ransomware might suspend access to critical data or equipment. The local telecommunications, power, or water utility company might lose service to the area. The Learning Management System might have an unplanned outage in its cloud service.
- B. Loss of or impaired access to facilities
 - a. Natural or manmade incidents might affect access to classroom, laboratory, or business center facilities on campus.
 - b. For example: Faculty, staff, and students might not be able to access facilities due to a natural or manmade disaster affecting the campus or any of the roads connecting the campus to population centers.
- C. Disruption of routine services due to reallocation of staff effort during a crisis
 - a. Events occur that require a rapid reallocation of resources from routine services to address a crisis.

² Federal Emergency Management Agency, Continuity Guidance Circular, October 2013, p B-4

³ SOCCCD District-wide Strategic Plan, 2020 - 2025, p 6.

- b. For example: A public relations crisis requires a reallocation of marketing staff away from usual activities. A chemical spill in a laboratory might require laboratory staff trained in hazardous material mitigation, but unavailable for class or research work while they address the spill.
- D. Business process disruption
- a. Major systems often have backups or redundancies, but processes might rely on sub-systems to accomplish critical and hard to replace steps.
 - b. For example: A malware outbreak might result in printing facilities being offline for an extended period of time. A critical IT system used to process student registration, purchase equipment or supplies, or provide administrative records fails.
- E. Societal Disruption
- a. Criminal, legal, and political unrest might interfere with the routine activities on a campus or with district personnel.
 - b. For example: A student protest disrupts class and/or threatens faculty, staff, and students on campus.

Mapping the threats against the EFs helps prioritize function restoration and crisis resource allocation.

	THREATS	Loss or Impaired Data Access	Loss or Impaired Facility Access	Crisis Staff Reallocation	Business Process Disruption	Societal Disruption
EFs						
Student Learning & Achievement		X			X	X
Learning Programs & Support Services		X	X	X	X	
Resource Utilization		X		X		X
Governance				X	X	X

2.2 Essential Functions and Resource Summary

Having evaluated EFs against the relevant threats, the business continuity planning process identifies the resources required to restore or sustain each EF within a stated recovery time. The Recovery Time Objective (RTO) is based on system or mission criticality but can be altered due to physical or technological constraints.

2.2.1 Process

Each function is briefly described using a standard table that captures the information elements required by the FEMA Business Continuity Planning Process.⁴

Essential Function	Recovery Time Objective	Responsible Personnel
<Name of the organizational essential function>	<RTO>	<List positions responsible for this function>
	Resources	
	<Insert required equipment, supplies, records, etc.>	
	Work Location & Space Requirements	
	<Insert continuity facility or telework location, IT, and communications access needs.>	
	Supporting Activities	
	<Insert essential supporting activities>	
	Interdependencies	
	<Insert other entities who provide required work or resources. Include mutual aid agreements where applicable.>	
Management Priority	Expected Costs	
X	< Insert the costs associated with the implementation of the essential function.>	

The table's fields are as follows:

<NAME>: The name of the Function and whether it is an Essential or Support function. The NAME is generally derived from the organization's mission statement.

<RTO>: The Recovery Time Objective (RTO) is the amount of real time, expressed in hours, that an organization has to restore the function before it incurs intolerable or irreparable losses. RTO might be specified in real hours or business hours in cases where 24/7/365 support is not required.

⁴ FEMA, "Continuity Plan Template and Instructions for Non-Federal Entities and Community-Based Organizations," August 2018, p 2, https://www.fema.gov/sites/default/files/2020-10/non-federal-continuity-plan-template_083118.pdf, accessed 14 April 2022.

<RESPONSIBLE PERSONNEL>: This field names the offices or, in some cases, the specific personnel who are responsible for the function.

<RESOURCES>: Each function requires resources in order to work as intended. Resources include software systems, specialized tools or vehicles, and trained or certified personnel.

<LOCATION/ WORK SPACE REQUIREMENTS>: This field lists any physical location or work space requirements. Some functions, for example, might require laboratory space with specialized equipment, while other functions might only require Internet connectivity.

<SUPPORTING FUNCTIONS OR TOOLS>: Functions often require the output of other functions in order to operate. These supporting functions are listed here. The relationship between functions is very important and is often expressed in a directed graph to help communicate dependencies.⁵

<RELATED FUNCTIONS>: This field lists the functions that this function supports or interacts with routinely.

<COST>: This field captures the estimate of the total cost in resource and budget requirements to conduct this function to its expected standard for up to 30 days after an incident or until normal operations are resumed.⁶ Elements of the function's cost might include: salaries, equipment, software licenses, and insurance.

<MANAGEMENT PRIORITY>: This field captures the restoration order of the function during and after an incident. It is set by the organization's Chief Executive in order to communicate resource allocation priorities.

⁵ Rinaldi, S.M., J.P. Peerenboom, and T.K. Kelly, 2001, "Complex Networks, Identifying, Understanding, and Analyzing Critical Infrastructure Interdependencies," IEEE Control Systems Magazine, December 2001, pp. 11–25,

<https://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.89.2276&rep=rep1&type=pdf>, accessed 12 April 2022.

⁶ FEMA, "Federal Continuity Directive2: Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process," June 13, 2017, p C-5, https://www.fema.gov/sites/default/files/2020-07/Federal_Continuity_Directive-2_June132017.pdf, accessed 12 April 2022.

2.2.2 Student Learning & Student Achievement

Essential Function	Recovery Time Objective	Responsible Personnel
Student Learning & Student Achievement	12 business hours (effectively one class day)	Vice President for Student Services (SC) Vice President for Instruction (SC) Vice President for Student Services (IVC) Vice President for Instruction (IVC)
	Resources	
	Learning Management System (Canvas), Student Information System (MySite)	
	Work Location & Space Requirements	
	Telework, Vocational, medical, and technical labs	
	Supporting Activities	
	Communications (email, telephone, video-conferencing)	
	Interdependencies	
	IT, Registrar, Bursar	
Management Priority	Expected Costs	
X	[Insert the costs associated with the implementation of the essential function.]	

The institution demonstrates strong commitment to a mission that emphasizes student learning and student achievement. Using analysis of quantitative and qualitative data, the institution continuously and systematically evaluates, plans, implements, and improves the quality of its educational programs and services. The institution demonstrates integrity in all policies, actions, and communication. The administration, faculty, staff, and governing board members act honestly, ethically, and fairly in the performance of their duties.⁷

This function is central to the District's existence. If this function is not conducted, students' academic careers will be halted and they may postpone their studies or decide to pursue them through other institutions. Losing students in this way has the short-term impact of losing their tuition but a longer-term impact to reputation and community support.

⁷ SOCCCD, South Orange County Community College District Function Map, 2016, p 2

2.2.3 Learning Programs & Student Services

Essential Function	Recovery Time Objective	Responsible Personnel
Learning Programs & Student Services	12 business hours (effectively one class day)	Vice Chancellor of Education and Technology Services (District) VP for Instruction (IVC) VP for Instruction (SC)
	Resources	
	CurricUNET (IVC)	
	Work Location & Space Requirements	
	Telework, Library	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Faculty Center (SC)	
	Interdependencies	
	IT, Library	
Management Priority	Expected Costs	
X	[Insert the costs associated with the implementation of the essential function.]	

The institution offers instructional programs, library and learning support services, and student support services aligned with its mission. The institution’s programs are conducted at levels of quality and rigor appropriate for higher education. The institution assesses its educational quality through methods accepted in higher education, makes the results of its assessments available to the public, and uses the results to improve educational quality and institutional effectiveness. The institution defines and incorporates into all of its degree programs a substantial component of general education designed to ensure breadth of knowledge and to promote intellectual inquiry. The provisions of this standard are broadly applicable to all instructional programs and student and learning support services offered in the name of the institution.⁸

This function supports teaching and learning for faculty and students. If this function is not performed, faculty would have difficulty maintaining and updating curriculum, while students

⁸ SOCCCD, South Orange County Community College District Function Map, 2016, p 14

would have difficulty completing assignments that are necessary for learning and understanding concepts and learning objectives.

2.2.4 Resource Utilization

Essential Function	Recovery Time Objective	Responsible Personnel
Resource Utilization	24 business hours (effectively two class days)	Vice Chancellor of Human Resources & Employer/Employee Relations (District) Vice Chancellor of Business Services (District) Vice Chancellor of Education and Technology Services (District) Vice President for Administrative Services (IVC & SC)
	Resources	
	Workday	
	Work Location & Space Requirements	
	Data Warehouse	
	Supporting Activities	
	IT, HR, Facilities	
	Interdependencies	
	Office of Instruction, IT, Facilities	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness. Accredited colleges in multi-college systems may be organized so that responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases, the district/system is responsible for meeting the standards, and an evaluation of its performance is reflected in the accredited status of the institution(s).⁹

Effective resource management enables mission completion and sustainment. If this function is not completed resources might not be available where and when they are needed, resulting in

⁹ SOCCCD, South Orange County Community College District Function Map, 2016, p 28

impaired or incomplete task execution. In the short term, the District might experience diminished effectiveness, leading to a decrease in reputation and, possibly, enrollment. If the situation persists, faculty and staff might look elsewhere for employment and students might pursue alternative paths to their education.

2.2.5 Governance

Essential Function	Recovery Time Objective	Responsible Personnel
Governance	40 business hours (effectively one class week)	Chancellor (District) President (IVC & SC)
	Resources	
	Communications (voice, video-conferencing, email), File Sharing (SharePoint)	
	Work Location & Space Requirements	
	Telework, conference meeting facilities	
	Supporting Activities	
	IT	
	Interdependencies	
	Vice Chancellor of Human Resources & Employer/Employee Relations (District) Vice Chancellor of Business Services (District) Vice Chancellor of Education and Technology Services (District)	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

The institution recognizes and uses the contributions of leadership throughout the organization for promoting student success, sustaining academic quality, integrity, fiscal stability, and continuous improvement of the institution. Governance roles are defined in policy and are designed to facilitate decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the chief executive officer. Through established governance structures, processes, and practices, the governing board, administrators, faculty, staff, and students work together for the good of the institution. In multi-college districts or systems, the roles within the district/system are clearly delineated. The multi-college district or system has policies for allocation of resources to adequately support and sustain the colleges.¹⁰

¹⁰ SOCCCD, South Orange County Community College District Function Map, 2016, p 48

Effective governance allows an organization to sustain and grow its ability to achieve its mission. If this function were not completed, the long-term viability of the organization would be impaired, as it would be unable to adapt to emerging conditions efficiently or effectively.

2.3 Support Functions

Support functions provide services internal to the organization that enable mission accomplishment.¹¹ These functions might be assigned a higher management priority or a shorter RTO than some EFs based on interdependencies with the EFs.

2.3.1 Information Technology

Support Function	Recovery Time Objective	Responsible Personnel
Information Technology	4 actual hours	Vice Chancellor of Education and Technology Services (District) Director of Technology Services (IVC & SC)
	Resources	
	Communications (voice, video-conferencing, email), File Sharing (Sharepoint), Business Systems, Network Infrastructure	
	Work Location & Space Requirements	
	Telework, Data Warehouse, server room (for non-cloud services)	
	Supporting Activities	
	Facilities (power, HVAC)	
	Interdependencies	
	Vice Chancellor of Business Services (District) Vice Chancellor of Education and Technology Services (District)	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

Technology and learning services support all academic, student support and administrative functions of the District. These services are almost ubiquitous across all of the District's essential functions. If this function is not completed, all of the EFs would suffer impaired operations, if not failure.

¹¹ Federal Emergency Management Agency, Continuity Guidance Circular, October 2013, p B-3

2.3.2 Facilities Management

Support Function	Recovery Time Objective	Responsible Personnel
Facilities Management	4 actual hours	Director of Facilities (IVC & SC)
	Resources	
	Facilities Infrastructure (power, water, sewerage, HVAC)	
	Work Location & Space Requirements	
	TBD	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Control Systems	
	Interdependencies	
	Vice Chancellor of Business Services (District) Vice Chancellor of Education and Technology Services (District)	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

Facilities management supports services that are provided on and off campus. Covering a broad range of infrastructure services, this function enables the safe and secure operation of academic, student support and administrative functions for the District. If this function is not performed, on campus functions will need to be curtailed or limited and off campus functions may be impaired.

2.3.3 Library & Learning Support

Support Function	Recovery Time Objective	Responsible Personnel
Library & Learning Support	24 business hours (effectively two class days)	Vice Chancellor of Education and Technology Services (District) Vice President for Instruction (IVC & SC)
	Resources	
	Facilities Infrastructure (power, water, sewerage, HVAC)	
	Work Location & Space Requirements	
	Telework	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Facilities	
	Interdependencies	
	Vice Chancellor of Business Services (District) Director of Technology Services (IVC & SC)	
Management Priority	Expected Costs	
X	[Insert the costs associated with the implementation of the essential function.]	

The District's library and learning support function is a key enabling factor in learning, research, and outreach. In addition to providing assistance with library materials, this function also offers technical support for students. If this function is not conducted, the District's instruction, research, and student outreach will suffer.

2.3.4 Business Services

Support Function	Recovery Time Objective	Responsible Personnel
Business Services	24 business hours (effectively two class days)	Vice Chancellor of Education and Technology Services (District) Vice Chancellor of Business Services (District)
	Resources	
	Finance, Human Resources, Student Information System	
	Work Location & Space Requirements	
	Telework	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Facilities	
	Interdependencies	
	Vice Chancellor of Education and Technology Services (District) Director of Technology Services (IVC & SC)	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

Business services are the fuel that powers the District’s mission accomplishment. This function is a foundational enabler of the EFs, as it provides funding, personnel, and materiel required by those functions. If this function is not completed, the EFs will decrease in effectiveness as their on-hand resources are consumed.

2.3.5 Health & Wellness

Support Function	Recovery Time Objective	Responsible Personnel
Health & Wellness	4 business hours	Vice President of Student Services (IVC & SC) Dean of Wellness, Social Services and Child Development Center (SC) Assistant Dean, Health, Wellness, & Veterans Services (IVC)
	Resources	
	Outpatient medical care and counseling, over the counter medical supplies	
	Work Location & Space Requirements	
	Telework/ telehealth	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Facilities	
	Interdependencies	
	Police Department (SC & IVC)	
	Management Priority	Expected Costs
X	[Insert the costs associated with the implementation of the essential function.]	

The District’s health and wellness function directly contributes to the safety and well-being of its students, staff, and faculty. This supporting function provides immediate medical assistance and supplies to those on campus. If this function is not completed, healthcare would have to be coordinated with and provided by local municipal organizations. This approach to response would be slower and presumably of less capacity than the District’s organic capabilities.

2.3.6 Public Safety

Support Function	Recovery Time Objective	Responsible Personnel
Public Safety	4 actual hours	Chief of Police (SC & IVC) Vice President for Administrative Services (IVC & SC)
	Resources	
	Police officers	
	Work Location & Space Requirements	
	Facilities on each campus	
	Supporting Activities	
	Communications (email, telephone, video-conferencing), Facilities, Health & Wellness, Public Affairs	
	Interdependencies	
	Vice Chancellor of Business Services (District) Directors of Technology Services (IVC & SC) Director of Facilities (IVC & SC)	
Management Priority	Expected Costs	
X	[Insert the costs associated with the implementation of the essential function.]	

Public safety underpins the incident response and business continuity of the EFs. Without a safe and secure location to operate from, the students, staff, and faculty of the District are unable to effectively and efficiently accomplish their tasks. This supporting function will play a critical and central role in all continuity activities. If this function is not completed, the District will be forced to rely upon local, county, and state law enforcement and public safety assets. These assets may not be available in the time and amount that the District requires during an emergency, however.

2.4 Interdependencies

SOCCCD is largely self-sufficient in terms of accomplishing its EFs. Requests for, and coordination of, support will normally be made through established channels:

- From Irvine Valley College or Saddleback College to SOCCCD; and/or

- From Irvine Valley College to the City of Irvine or the City of Tustin for ATEP and the appropriate Operational Area; and/or
- From Saddleback College to the City of Mission Viejo and the appropriate Operational Area.

There may be requirements for assistance from local, county, or state organizations in the areas of Public Safety and Health and Wellness, which should be addressed in a Memoranda of Understanding.

2.5 Expected Costs

The California Government Code, § 8649, provides that for any state department using its personnel, property, equipment, or appropriation for declared emergencies where the agency's funds are subject to constitutional restrictions, the state department may be reimbursed and the original expenditure considered a temporary loan to the General Fund. It is the state's policy to recover eligible state agency disaster costs from available federal assistance programs. It is each state agency's responsibility to maintain its own records, prepare its own applications for disaster assistance funds, and prepare requests to the Legislature to recoup funds spent on disaster activities.

3. Essential Records and IT Functions

All organizations create and manage large volumes of information and data, both in electronic and physical form. Much of that information and data is important. Some of that information and data is essential to the survival and continued function of the organization. The impact of data loss or corruption from hardware failure, human error, hacking, or malware could be significant. The unintentional release of a student's personally identifiable information maintained within their educational record is FERPA protected.

3.1 Backup and Protection

Electronic records, and the records inventory, are backed-up using cloud-based replication. Additional protection is provided using Amazon Web Services (AWS) or Workday. If they are lost, recovery will be conducted by District IT.

Hard copy records are backed up using records retirement and retention policies (TBD). Additional protection is provided using multiple copies. If they are lost, recovery will be conducted by the records' owner.

3.2 Recovery

Recovery is expensive, time consuming, and may not be completely effective, so every effort should be made to prevent damage to essential records. If essential records are damaged, recovery will be conducted by the Vice Chancellor of Human Resources & Employer/Employee Relations. Plans to cover the costs of recovery are included in the Budgeting and Acquisition section.

3.3 Identification and Storage

The Office of the Vice Chancellor of Business Services maintains a complete inventory of essential records, along with their locations and instructions for access at 28000 Marguerite Parkway, Mission Viejo, CA 92692.

Essential Record, File, or Database	Support to Essential Function	Form of Record	Accessible at Alternate Location?	Hand Carried to Alternate Location?	Multiple Storage Location(s) Y/N	Maintenance Frequency
Student Information	Student Learning & Support	electronic	AWS O365 MySite	N	Y	Near real time
Employee Database	Student Learning/ Learning Programs	electronic	Workday	N	Y	Near real time
Identity Mgmt	Student Learning/ Learning Programs	electronic	Active Directory	N	Y	Near real time
Resource Mgmt	Resource Utilization/ Contract Mgmt	electronic	Jaggaer Tidemark	N	Y	Daily
HAZMAT Locator	Resource Utilization/ Public Safety	Hard copy	n/a	Y	N	Annually
Public Safety Database (DoJ)	Resource Utilization/ Public Safety	electronic	Not without prior configuration	N	Y	Daily
Police Dispatch	Resource Utilization/ Public Safety	Electronic	ARMS ¹²	Y	N	Daily
Mass Notification	Public Safety	Electronic	reGroup	Y	Y	Daily
Healthcare database	Student Learning & Support	Electronic & hard copy	EMR	Y	Y	Daily
Donor Database	Resource Utilization	Electronic	Blackbaud	Y	Y	Daily

¹² Both IVC and SC utilize ARMS as a dispatch system, but use separate instances that are not interoperable.

4. Human Resources

4.1 Roles and Responsibilities

4.1.1 Senior Leadership

Continuity Plan activation is a scenario-driven process that allows flexible, scalable response to all hazards/threats that might disrupt operations. Continuity Plan activation will not be required for all emergencies or disruptions.

The process for activating the continuity plan has three basic steps:

- (1) The Chancellor is aware of, or is notified, that a disruption to normal operations is planned, is anticipated, or has occurred.
- (2) The Chancellor evaluates the situation along with its potential, anticipated, or known effects on agency operations and decides whether to activate the Continuity Plan.
- (3) The Chancellor initiates the process to inform all employees of the situation and the actions they should take.

Based on the type and severity of the emergency, the Continuity Plan may be activated by one of the following methods:

- (1) The state governor, county executive or county commissioner, local mayor, city mayor, or city administrator may inform the Chancellor of the need to initiate continuity activation.
- (2) The Chancellor, or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization.
- (3) The Chancellor convenes the Continuity Committee and coordinates with the Board of Trustees. Based on their input, students, staff, and faculty are notified of the nature of the situation and the appropriate response that they should take.

The decision to activate the Continuity Plan and related actions will be tailored for the situation based on projected or actual impact.

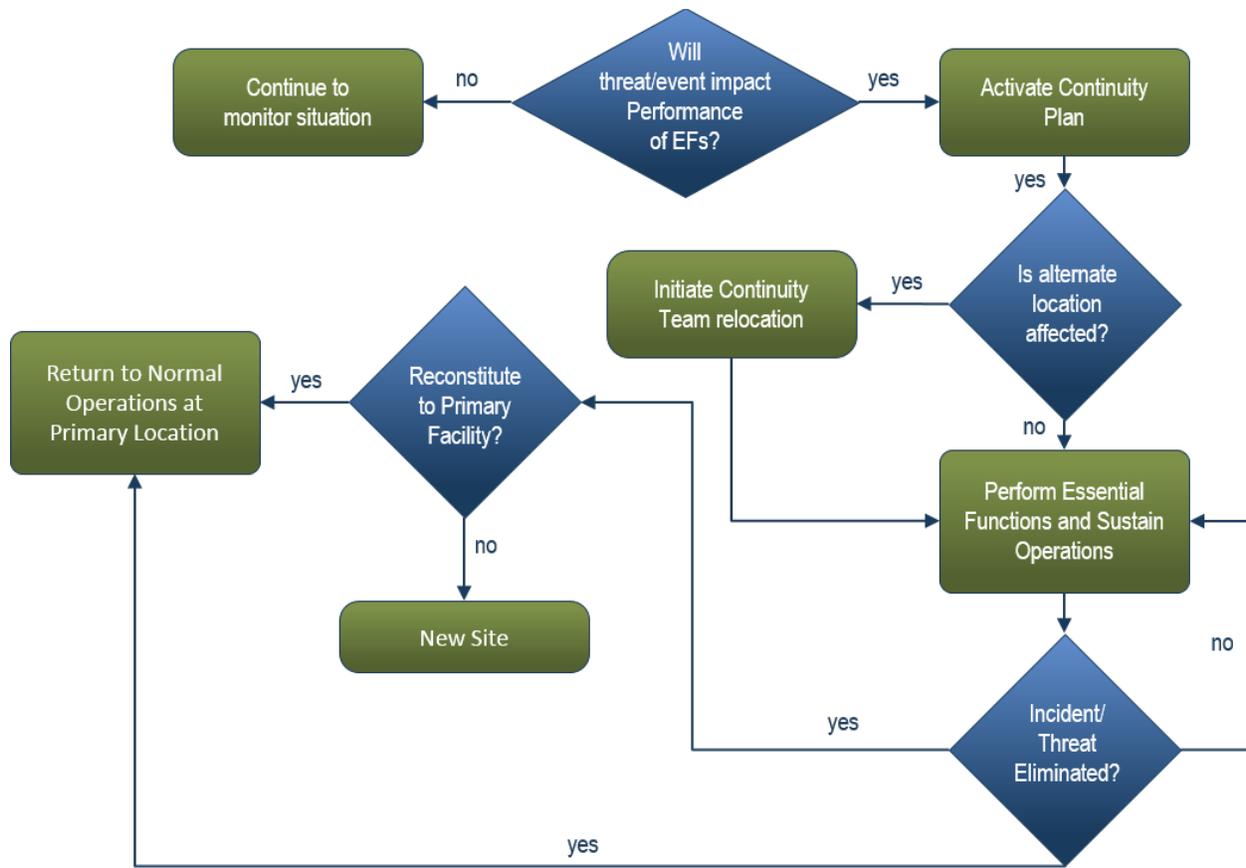


Figure 2: SAMPLE Decision Making Process¹³

4.1.2 All Personnel

Every member of the organization will train and prepare in advance for a continuity event so they are prepared to act quickly in an emergency. Each individual will also develop a Family Support Plan to increase personal and family preparedness. The www.ready.gov website provides guidance for developing a Family Support Plan and includes a “Get Ready Now” pamphlet that explains the importance of planning, and a template that can be tailored to meet family-specific planning requirements.

4.1.2.1 Personnel Accountability

It is important to account for all personnel during a continuity event. The Vice Chancellor of Human Resources & Employer/Employee Relations will account for personnel using the Department managers’ reporting. Accountability information is reported to the Human Resources at one-hour intervals. The process will continue until all personnel have been accounted for.

¹³ FEMA, Continuity Plan Template and Instructions for Non-Federal Governments and Community-Based Organizations, August 2018, p 7.

4.1.2 Continuity Personnel

The District should determine the positions necessary to conduct essential functions, and to authorize and approve the work. Key positions include the Continuity Coordinator, Continuity Team members, senior leadership and their successors, and others who are assigned continuity responsibilities. These individuals will report to the alternate location or other assigned location. A copy of the current roster is found at the Office of the Chancellor. The Chair of the Business Continuity Committee is responsible for maintaining the roster and ensuring personnel are correctly matched to required positions.

Continuity personnel are responsible for creating and maintaining the equipment and information that they will require if they must relocate or work remotely. The readiness and completeness of these preparatory measures will be verified by periodic exercises.

4.2 Succession and Delegations of Authority

In the event the Chancellor or the Presidents of the colleges are rendered incapable or unavailable to fulfill their duties, successors have been identified to ensure there is no lapse in decision-making authority.

Position	Designated Successors
Chancellor (District)	Vice Chancellor of Business Services
	Vice Chancellor of Education & Tech Svcs
	Vice Chancellor of Human Resources
President (SC)	Vice President for Instruction
	Vice President for Administrative Services
	Vice President for Student Services
President (IVC)	Vice President for Instruction
	Vice President for Administrative Services
	Vice President for Student Services

The Office of the Chancellor is responsible for ensuring orders of succession are up-to-date, and copies can be found at the Chancellor’s office and the offices of the college Presidents. When changes occur, they will be distributed to the executive offices of the District and the Colleges.

When the primary holder of one of these positions, or their acting successor, becomes unreachable or incapable of performing their duties, the executive office of the appropriate organization will notify the next successor in line and inform other internal and external stakeholders of the substitution.

Successor training will be conducted annually, and the dates and topics will be documented by the Vice Chancellor of Human Resources & Employer/Employee Relations and stored in the employee's training records which are essential records.

The organization has informed those officials who might be expected to assume authority during a continuity situation. Documentation is found at the District office of Business Services. Further, these officials are trained at least annually. This training is reflected in agency training records located at the Vice Chancellor of Human Resources & Employer/Employee Relations.

The organization has identified the following positions that require delegations of authority:

- District Chancellor
- College Presidents
- Financial Controllers, District and College Vice Presidents for Admin Services

4.3 Additional Human Resources Considerations

The organization has developed guidance and direction for personnel regarding human resource issues during a continuity event. This guidance is integrated into the Human Resources procedures, is maintained by the Vice Chancellor of Human Resources & Employer/Employee Relations and stored by the Business Continuity Planning Committee. The Continuity Coordinator/Manager works closely with the District and College Human Resources officers to resolve human resources issues related to a continuity event, update the Continuity Plan, and communicate with managers regarding human resources needs to help continue EFs throughout an event.

4.3.1 Personal Recovery Assistance

An event that requires the activation of the Continuity Plan may personally affect personnel. Therefore, the Business Continuity Planning Committee will create provisions and procedures to assist all personnel, especially those who are disaster victims, or who have special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at the District and College Planning website.¹⁴

4.3.2 Replacing Staff

It may be necessary to augment or replace personnel during a continuity event. The Vice Chancellor of Human Resources & Employer/Employee Relations will be responsible for recruiting, hiring, and on-boarding staff during a continuity event.

¹⁴ South Orange County Community College District, "District and College Plans," <https://planning.socccd.edu/district-and-college-plans>, accessed 12 April 2022.

5. Communications

The success of continuity programs is dependent on the availability of and access to communications systems with sufficient resiliency, redundancy, and accessibility available to perform essential functions and provide critical services during a disruption. During an emergency, the ability of a department or agency to execute its essential functions at its primary or alternate location depends on the availability of communications systems.

External communications during a continuity plan activation is an essential function of many organizations during emergencies. External stakeholders and the public will expect information to flow from an affected area and it is vital to an organization that it is able to communicate its status and additional information that is accurate, quick, effective, and accessible to the whole community, including individuals with disabilities and others with access and functional needs.

5.1 Resilient Systems

The organization has identified multiple, resilient communication systems, located at the primary and alternate location(s), and telework or virtual office location. These systems will support the needs of the organization during all hazards/threats. The organization also maintains communications equipment for use by employees with disabilities and hearing impairment. During a pandemic, when the limiting factor is loss of manpower rather than loss of facility or equipment, the diverse forms of communication can support social distancing efforts. These systems are documented in the SOCCCD Technology Plan 2015-2020 Master Plan.¹⁵

¹⁵ South Orange County Community College District, "SOCCCD Technology Plan 2015-2020 Master Plan," <https://planning.socccd.edu/TMP>, accessed 12 April 2022

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
Desk Phones	All	VoIP through SIP Server			
Cell phones	All	commercial	Personally owned		
Fax Lines	Resource Utilization				
Satellite Phone	All				Located at each college's police department.
Email	All	O365			
Mass Notification	Public Safety/ Student Svcs	reGroup			
Internet Access	All				
Two-way Radio	Public Safety/ Facilities				Located at each college's police department.
GETS Card	Public Safety				

Communications and IT capabilities should be operational within the RTO. Additional detailed information on the communications systems and requirements is found in SOCCCD and Colleges' Emergency Operations Plans.¹⁶

5.2 Senior Leadership Communications

The organization possesses communications capabilities to support the organization's senior leadership while they are in transit to alternate location(s), at a remote site, or communications have failed at the primary operating facility. These capabilities are maintained by the District and College IT departments and documentation regarding these communications capabilities is found in the District and College Technology Plans.

5.3 Alert and Notification

In the event of a potential or actual interruption, Public Information Office will take the following steps to communicate the organization's operating status:

¹⁶ SOCCCD Emergency Operations Plan, dtd July 2014, <https://planning.socccd.edu/EOP>, retrieved 18 Nov 2021.

- (1) The Chancellor, President or designated successor will notify the District's Emergency Operations Center of the Continuity Plan activation.¹⁷
- (2) Department HR Representatives will notify family members, next of kin, and/or emergency contacts of Continuity Plan activation.
- (4) The Public Information Office will notify external stakeholders of activation.

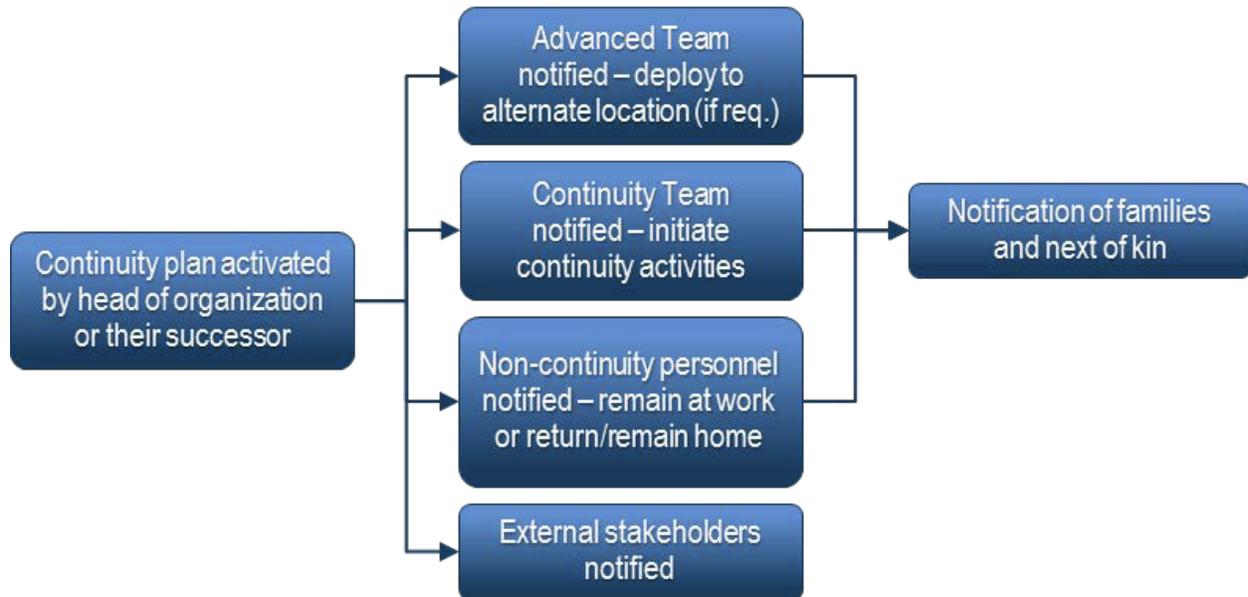


Figure 3: Continuity Plan Activation Flowchart¹⁸

5.4 Continuity Event Communications

The Public Information Office will be responsible for external communications and will provide periodic updates. The frequency of these updates will depend on the duration and nature of the event.

5.5 Contact Rosters

Contact Rosters are maintained by individual work units and stored in the essential records database.

5.6 Tracking the Threat

The District's staff, faculty and students will remain informed of the threat environment using all available means, including:

- Emergency Communications Center

¹⁷ SOCCCD Emergency Operations Plan, dtd July 2014, <https://planning.socccd.edu/EOP>, retrieved 18 Nov 2021.

¹⁸ FEMA, Continuity Plan Template and Instructions for Non-Federal Governments and Community-Based Organizations, August 2018, p 15

- Regional and local notification systems
- Direction and guidance from higher authorities
- News and weather media

The Chancellor will evaluate all available information relating to:

- The health and safety of personnel
- The ability to execute EFs
- Changes in threat advisories
- Intelligence reports
- The potential or actual effects on communications systems, information systems, office facilities, and other essential equipment
- The expected duration of the emergency

6. Alternate Locations and Telework

An alternate location is a facility sufficiently distanced from the primary facility where EF are continued or resumed during an incident.¹⁹ These locations are selected due to several factors that include geographic distance and mitigation of the threats present at the primary location.

When the EOC is activated, the SOCCCD Emergency Management Staff will respond to that location and coordinate emergency operations from there.

6.1 Space and Infrastructure Summary

The SOCCCD Emergency Operations Center (EOC) is located in the District IT training room on the Saddleback College campus.²⁰ It is a secure location that provides a single focal point for centralized information management, decision-making, resource support, and resource allocation during a disaster response.

In addition, IVC has an EOC located in Campus Police Department. It is a secure location with a backup power system. Depending on the emergency, the college EOC and/or SOCCCD EOC might be activated.

¹⁹ Department of Homeland Security. *Federal Continuity Directive 1 (FCD 1): Federal Executive Branch National Continuity Program*. Washington, DC: DHS, FEMA Office of National Continuity Programs, January 2017, 64 pages. Accessed at:

<https://www.gpo.gov/docs/default-source/accessibility-privacy-coop-files/January2017FCD1-2.pdf>

²⁰ SOCCCD Emergency Operations Plan, dtd July 2014, p 68, <https://planning.socccd.edu/EOP>, retrieved 18 Nov 2021.

6.2 Access to Communications, Internet, and Remote Servers

Depending on the emergency the primary EOC, located at Saddleback College in the District IT training room, or at IVC in Campus Police building, will have the following communications systems:

- Dedicated telephone lines (incoming/outgoing)
- One (1) portable OC 800 MHz Countywide Coordinated Communications System (transceiver radio)
- Berbee IP telephony audio/text messaging system
- Access to Canvas (learning management system) for announcements
- Email, including the option to make notification to all students and employees
- Access to WebEOC

6.3 Telework

The organization will remain informed of the threat environment using all available means, including:

- Emergency Communications Center
- Regional and local notification systems, such as AlertOC and Cal Earthquake Early Warning
- Direction and guidance from State, County, and City authorities.
- News and weather media

6.4 Relocation

The District has analyzed the types of local hazards and their impact on its operations.²¹ This analysis will be used to assess and obtain temporary facilities adequate for the District's continued operations. Upon activation of the Continuity Plan by the Chancellor, EFs may be directed to relocate to these pre-designated alternate location(s).

The Vice Chancellor of Education and Technology Services will notify the point of contact at the alternate location(s) of the activation and need to occupy the space and ensure that the continuity operations can begin within the RTO.

If the emergency occurs during work hours continuity activities will be implemented as follows.

- Advance Team and Continuity Team members will deploy to the designated alternate location from the primary facility or their current location using privately owned vehicles.
- Non-continuity personnel will receive instructions from the Public Information Office. In most situations they will be directed to return home to await further instructions.
- Information will be provided regarding safety precautions and clear routes to use when leaving the primary operating facility.

²¹ South Orange County Community College District, Local Hazard Mitigation Plan, February 2022.

If the emergency occurs during non-work hours continuity activities will be implemented as follows:

- Advance Team and Continuity Team members will deploy to the designated alternate location from their current location using privately owned vehicles. They should arrive by the time specified during notification.
- Non-continuity personnel will remain at their residence or other designated location, but must be prepared to replace or augment continuity personnel within one hour of notification, or as advised. Staff replacements will be coordinated by the Business Unit supervisor.
- Non-continuity personnel may be required to replace or augment continuity personnel during activation and should remain available as instructed. Notification of activation will include the time from notification till they are expected to arrive for work. These activities will be coordinated by the EOC.

7. Reconstitution

Planning for the recovery of the organization occurs during the readiness and preparedness phase, but the process of reconstitution will generally start when an incident occurs or soon after the incident concludes. During this phase, an organization focuses on returning to normal operations.

7.1 Reconstitution Team

As the Incident Manager handles immediate activity, the **EOC Manager** will be responsible for designating personnel to act as a Reconstitution Team. The size and composition of this team will depend on the nature and severity of the emergency but will, at a minimum, comprise of:

- Information Technology
- Human Resources
- Facilities
- Finance/Purchasing
- Public Safety

7.2 Procedures

Within six hours of an emergency relocation, and after receiving approval from the appropriate state, county, and local law enforcement and emergency services, the designated Reconstitution Team will initiate and coordinate operations to salvage, restore, and recover the primary operating facility and resources:

8. Devolution

Devolution is the ability to transfer statutory authority and responsibility from an organization's primary operating staff and facilities to other designated staff and alternate locations to sustain

essential functions. A continuity plan's devolution option addresses how an organization will identify and transfer organizational command and control, as well as the responsibility for performing essential functions, to personnel at a location unaffected by the incident.

8.1 Contract

The organization is prepared to transfer all its EFs (or list specific ones) and responsibilities between personnel at district services and the colleges if events render leadership or staff unavailable to support the execution of EFs.

The Office of the Chancellor maintains responsibility for ensuring the currency of the Devolution Plan. This plan:

- Is located at the Office of the Vice Chancellor of Education and Technology Services.
- Includes program plans and procedures, budgeting and acquisitions, EFs, orders of succession and delegations of authority specific to the devolution site, interoperable communications, essential records management, staff, test, training, and exercise (TT&E), and reconstitution.
- Identifies prioritized EFs, defines tasks that support, and resources to facilitate, those functions. The list of prioritized EFs for devolution is found at the Office of the Vice Chancellor of Education and Technology Services.
- Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and the authority to perform EFs and activities when the devolution option of the Continuity Plan is activated. The devolution personnel roster is found at the Office of the Vice Chancellor of Education and Technology Services.
- Identifies events that might “trigger” devolution and specifies how and when control and direction of the operations will be transferred between entities. Devolution activation protocols are found at the Office of the Vice Chancellor of Education and Technology Services.
- Lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of EFs to the devolution site. The list of necessary resources for devolution is found at the Office of the Vice Chancellor of Education and Technology Services.
- Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue EFs and to sustain those operations for extended periods. The Office of the Vice Chancellor of Education and Technology Services and the Office of the Vice Chancellor of Business Services are responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found at the Office of the Vice Chancellor of Business Services.
- Establishes and maintains the ability to restore, or reconstitute, authority to the primary organization upon termination of devolution.
- Outlines the devolution organization's responsibilities to maintain situational awareness and ongoing communications with senior leadership and personnel.
- Provides an overview of procedures outlining workforce protection strategies to prevent the need to devolve. This may include strategies such as social distancing, telework, split shifts, or increased workplace hygiene.

8.3 Transfer of Essential Functions

In the event of EFs needing to be transferred from one location to another, the Chancellor will direct the Office of the Vice Chancellor of Education and Technology Services and the Office of the Vice Chancellor of Business Services to implement the devolution plan. In some cases, this plan will require the EFs to be conducted remotely and will not result in any administrative changes.

In cases where the execution of the EF can or must be physically relocated, the Office of the Vice Chancellor of Education and Technology Services will undertake to facilitate and coordinate the allocation of space and technology resources between the two campuses, or between a campus-based business unit and an off-campus location.

9. Budgeting and Acquisition

Within SOCCCD, the organization budgets for resources and capabilities essential to continuity operations. A copy of the continuity budget is found at the Office of the Vice Chancellor of Business Services.

A risk management methodology called the National Institute of Standards and Technology (NIST) Risk Management Framework is used to identify, prioritize, and justify the reallocation of budgetary resources. A copy of the risk management documents can be found at the Office of the District Risk Manager.

The organization integrates the continuity budget with its long-term strategic plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the strategic plan is found at the District Planning website.

Contracts vital to the support of EFs, include contractor statements of work covering provision of staffing, services, and resources during emergency conditions. A list of vital contracts is maintained by the Office of the Vice Chancellor of Business Services. During an emergency, the Office of the Vice Chancellor of Business Services is responsible for oversight and handling of emergency work by contractors.

9.1 Cost Prevention, Mitigation, and Reallocation

State agencies may be directed by the governor to incur costs and expend funds from their normal operating budget for disaster assignments. Because of the need to respond to emergency situations immediately, there may be times when it is difficult to secure advance approval for expenditures from the Department of Finance (DOF.) For this reason, DOF, under the authority of California Government Code § 13078, and Executive Order W-9-91, has given standing authority to the Director of California Governor's Office of Emergency Services (Cal OES) to direct any agency to utilize and employ state personnel, property, equipment, and appropriations to prevent or alleviate actual or threatened damage due to an emergency, without prior approval.

The cost of such actions by state agencies may not exceed \$25,000 for each emergency incident directed by Cal OES. For expenditures above this level, DOF approval is required.

9.2 Emergency Procurement

During continuity operations, it may be necessary for the organization to procure replacement personnel, equipment, and supplies on an emergency basis to sustain operations until normal operations can be resumed. The Office of the Vice Chancellor of Business Services maintains authority for emergency acquisition. Instructions for this process are found in the Office of the Executive Director, Procurement, Central Services and Risk Management.

10. Training, Testing, and Exercising

Test, training, and exercise (TT&E) events assess and validate continuity plans, policies, procedures, and systems. Conducting TT&E events using an all-hazards approach using threats, hazards, and vulnerabilities identified through organizational risk assessments affirms the viability of continuity plans and programs. Integrated and coordinated events in which whole community partners participate will further help to sustain continuity of government and enduring constitutional government plans. To the extent possible, organizations should incorporate continuity aspects into its organization-wide TT&E program rather than developing and conducting stand-alone continuity TT&E events.

10.1 Training

The organization participates in the full spectrum of readiness and preparedness activities to ensure personnel can continue EFs in an all-hazard/threat environment. The readiness activities are divided into two key areas:

- Organizational readiness and preparedness
- Staff readiness and preparedness

The organization has established a TT&E program to support preparedness and validate continuity capabilities during any disruption of operations. It is essential to demonstrate, assess, and improve the ability to execute the continuity program procedures.

All continuity TT&E events are documented, including the

- Event date,
- Event type,
- Participants
- Test results,
- Feedback forms, participant questionnaires, and other documents resulting from the event.

Documentation is managed by the Office of the Vice Chancellor of Administration at each campus.

10.2 Testing and Exercises

Testing demonstrates the correct operation of all equipment, procedures, processes, and systems that support an organization's continuity program. This ensures that resources and procedures are kept in a constant state of readiness. As detailed in Federal Continuity Directive 1, testing and exercising an organization's policies, plans, and procedures cultivates better organizational knowledge, identifies gaps in coverage, and validates existing plans and programs.

Organizations should test:

1. Alert and notification systems and procedures for all employees and continuity personnel;
2. Protection, access, and recovery strategies found in continuity and IT/DR plans for essential records, critical information systems, services, and data;
3. Internal and external interoperability and functionality of primary and backup communications systems;
4. Backup infrastructure systems and services, such as power, water, and fuel;
5. Other systems and procedures necessary to the organization's continuity strategy, such as the IT infrastructure required to support telework options during a continuity plan activation; and
6. Measures to ensure accessibility for employees and members of the public with disabilities.

Exercises play a vital role in preparedness by enabling partners, stakeholders, and elected officials to shape planning, test and validate plans and capabilities, and identify and address gaps and areas for improvement. Exercise programs improve an organization's preparedness posture and emphasize the value of integrating continuity functions into daily operations. Exercises provide a low-risk environment to test capabilities, familiarize personnel with roles and responsibilities, and foster meaningful interaction and communication across organizations.

The Homeland Security Exercise and Evaluation Program (HSEEP)²² provides guiding principles for exercise programs, as well as a common approach to exercise program management, design, development, conduct, evaluation, and improvement planning.

10.3 After-Action Evaluation and Improvement Planning

A comprehensive debriefing or hot wash is conducted after each exercise, allowing participants to identify weaknesses in plans and procedures and recommend revisions to the organization's continuity plan. Documentation from TT&E hot washes is found in the Office of the Executive Director, Procurement, Central Services and Risk Management.

A corrective action plan (CAP) is completed to document and prioritize issues identified during TT&E activities, assessments, and emergency operations. The CAP incorporates evaluations, after action reviews (AARs), and lessons learned. CAPs are maintained by the Business Continuity Committee and documentation is found at the Office of the Executive Director, Procurement, Central Services and Risk Management.

²² FEMA, Homeland Security Exercise and Evaluation Program, <https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep>, retrieved 21 March 2022.

Appendix A: List of Support Appendices

Specific appendices, checklists, and rosters are found in the SOCCCD Emergency Operations Plan and are maintained by the Business Continuity Committee.

Appendix B: Authorities and References

SOCCCD Emergency Operations Plan, dtd July 2014, <https://planning.socccd.edu/EOP>, retrieved 18 Nov 2021.

SOCCCD Local Hazard Mitigation Plan, dtd February 2022

FEMA Continuity Guidance Circular (CGC) dated February 2018.

California Emergency Services Act

Natural Disaster Assistance Act

California Code of Regulations, Title 19

Governor's Executive Order W-9-91

California Disaster and Civil Defense Master Mutual Aid Agreement

State of Emergency Orders and Regulations (Made in advance of a State of Emergency -- Standby Orders)

State of War Emergency Orders and Regulations (Made in advance of a State of War Emergency -- Standby Orders)

Robert T. Stafford Disaster Relief and Emergency Assistance Act (as amended)

The Federal-State Agreement

Title 44 Code of Federal Regulations

Health Insurance Portability and Accountability Act.

Privacy Act of 1974.

Homeland Security Exercise and Evaluation Program (HSEEP), February 2020.

National Institute of Standards & Technology, Risk Management Framework, <https://csrc.nist.gov/Projects/risk-management>

Appendix C: Acronyms

Acronym	Definition
AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assessment Tool
CGC	Continuity Guidance Circular
EF	Essential Function
IT	Information Technology
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
POC	Point of Contact
RTO	Recovery Time Objective
SLA	Service Level Agreement
SOP	Standard Operating Procedure
TBD	To Be Determined
TT&E	Training, Testing, & Exercise

Appendix D: Plan Maintenance

Annual Review

Element Reviewed	Date of Last Review	Individuals Conducting Review
Continuity Plan		
Essential Functions		
Risk Assessment		
Business Impact Analysis		
Business Process Analysis		
Alternate Location(s) Suitability and Functionality		
Alternate Location(s) MOA/MOU		
Continuity Communications' ability to support Essential Functions fully		

Record of Distribution