

Developing Emergency Relocation Group (ERG) Member Planning Guides

A Guide for ERG Positional Requirements
Planning

June 2009



FEMA

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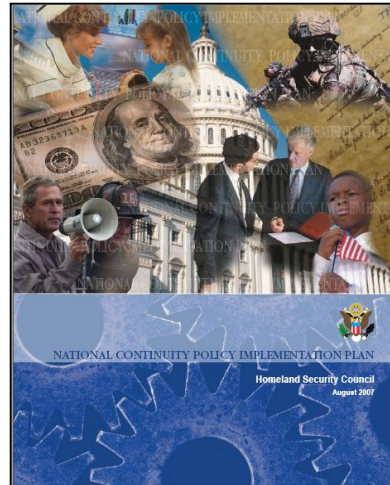
OVERVIEW

PURPOSE

This Guide provides continuity managers and Emergency Relocation Group (ERG) members with tools to begin development for a set of standard operating procedures supporting each identified ERG position that supports the organizational continuity program. The Federal Emergency Management Agency, National Continuity Programs Directorate (NCP) developed this guide and accompanying templates to assist in this process.

Executive departments and agencies will incorporate the following key continuity concepts in developing specific operational procedures to ensure a robust continuity capability: an understanding of essential functions; consideration of risk management; clear lines of authority; necessary communications capability; adequate facilities; ample security; thoughtful preparedness; and integration with incident management (as required). The consideration, preparation, and execution of those elements are fundamental for a successful concept of operations for continuity.

- National Continuity Policy Implementation Plan (NCP/IP), August 2007



SUPPORTING ESSENTIAL FUNCTIONS

This guide is a working aid and organizations are encouraged to modify the materials in a manner that will allow their team to develop ERG planning guides that is integrated into a plan to support the accomplishment of Essential Functions (EFs). The organization's ERG supports the organization's Mission Essential Functions (MEFs) – The limited set of department and agency-level government functions that must be continued after a disruption of normal activities.

An organization's continuity capability—its ability to perform its EFs continuously – rests upon key components or pillars, which are in turn built on the foundation of continuity planning and continuity program management. Those key pillars are Leadership, Staff, Communications, and Facilities. They are important during normal operating status, and they are critical during times of crisis, especially when an organization is functioning with limited information or resources.

IDENTIFY AND TRAIN REQUIRED SKILL SETS

Leaders and staff must be sufficiently trained to be able to perform their duties in a continuity environment (i.e., one in which an organization is faced with an interruption of normal operations for a potentially protracted period of time). In order to ensure that required skill sets are available, personnel should be both cross-trained and "vertically" trained to be able to perform the functions of their peers and the person above and below them in an emergency.

INDIVIDUAL ROLES AND RESPONSIBILITIES

The first step in this process is to define roles and responsibilities as outlined in the *National Continuity Policy Implementation Plan (NCP/IP)*, August 2007. The most basic and fundamental foundation of continuity, at any level of government or within the private sector, is personal responsibility and readiness. **Individuals** must understand their roles and responsibilities within their respective organizations. They need to know and be committed to their duties in a continuity environment. This may involve separation from family or other hardships in time of crisis. Some might be required to report to work at a primary or alternate site; others may be directed to remain at home for teleworking or to remain available for reach-back and staff augmentation. Individuals need to understand and be willing to perform in these situations to ensure an organization can continue its EFs.

PLANNING PROCESS

Planning is the first step in a robust Program Management Cycle including pre-identification of the right people, places, budgeting, resources, tasks, and procedures required to fulfill Essential Functions.

These templates support the creation of ERG positional SOPs. This will allow new (or replacement) ERG staff to understand the key elements of supporting that position. This same information will also support staff on the Devolution Emergency Response Group (DERG) in the event they must perform the EFs until the headquarters is reconstituted. Additionally, this allows continuity managers access to the positional requirements that are considered when preparing a Business Process Analysis of organizational EFs.

When developing the ERG planning guide, each individual should consider the following:

- **Establish a timeline.** Identification of decision points and specific tasks on a timeline assists in the organization of work, and establishes the order for completing sequential or dependent events to be performed.
- **Identify and describe specific functions/tasks.** For each task described, some basic information is needed. Developing this information during the planning process assists managers and staff to incorporate the task into the continuity plan. A function or task is correctly defined when planners/staff can answer the following questions about it:
 - What is the function/task?
 - Who performs the task?
 - When is the task performed?
 - How long does it take and how much time is available to complete it?
 - What has to happen before it?
 - What resources are needed?
- **Identify Legal Requirement through Guidance and Doctrine.** The plan needs to comply with guidance and doctrine to the maximum extent possible, since they provide a baseline that facilitates both planning and execution. Guidance also establishes the requirements and responsibilities associated with the planning. List related laws, statutes, ordinances, executive orders, regulations, and formal agreements relevant to the function/task.
- **Timeliness.** Determined the whether the function/task must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution during an emergency. In most cases, activities relating to continuity planning are expected to be required during the first 30 days following a continuity event.
- **Identify inputs to include information requirements.** Another outcome from the continuity planning effort is a “list” of inputs and/or informational needs for each of the functions/tasks. Planners need to identify critical input requirements that are

necessary to support the completion of the activity. Consider the timing requirements of those inputs and/or informational needs.

- **Identify outputs or expected deliverables.** The next consideration in continuity planning effort is to develop a “list” of outputs or expected deliverables that result from the performance of the function/task. Planners need to identify critical outputs that are necessary to support the completion of the supported Essential Function (EF). Consider the timing requirements of those outputs and/or expected deliverables.
- **Foundation of continuity planning.** The ability to perform its essential functions continuously—rests upon key components built from the foundation of continuity planning and continuity program management. Identify requirements that are both internal and external to your organization. Upon this foundation, key continuity components or elements must be considered that include the following:
 - **Leadership.** Identify chain of authority at least two levels higher. Is succession or delegation of authority requirements required? The designation as a successor enables a person to act for and exercise the powers of the principal in the event of death, incapacity, or resignation.
 - **Staff.** This area identifies other team members that allow your ERG position to provide the leadership advice, recommendations, and the functional support necessary to continue essential operations.
 - **Communications.** Robust communications help ensure that leadership receives coordinated, integrated policy and operational recommendations and enable coordination with Federal executive branch departments and agencies; State, local, territorial, and tribal governments; and the private sector as necessary to perform Essential Functions. The include voice, video, and data capabilities utilized in association with this ERG position. Include information related to IT and Vital Records.
 - **Facilities.** Include comments on whether the function/task must be included within the continuity facility or may be connected virtually through communications systems. While the identification of the potential for the task to be performed virtually (i.e. telework) is an important planning consideration, consider if the function/task is best performed in a location that provides survivable protection that enables continued, endurable operations.
 - **Budgeting and resources.** Before and during an emergency situation that triggers a continuity plan, leaders and staff must be prepared to allocate scarce resources. Continuity planning 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.

All of these elements are important during normal operating status and become critical during times of crisis. Because the organization’s resiliency is directly related to its continuity capability, all organizations can improve their capability by developing planning to support continuity of operations.

PLANNING FORMS AND TEMPLATES

POSITIONAL INFORMATION. Leadership and staff provide information about their ERG position on the continuity team. That information includes: leadership/management requirements, successorship/delegations of authority considerations, telework options, special skill sets/training required, clearance requirements, and position description.

ERG ACTIVATION CHECKLIST. This checklist is used in conjunction with an alert and notification exercise or continuity deployment. The focus is on collecting data critical to providing guidance and support to the ERG team. It includes information related to the Emergency Notification System (ENS), transportation, credentialing, meals, lodging, access to vital records, medical care, and emergency contact information.

FUNCTION/TASK DESCRIPTION. This template should be prepared for each assigned task for the ERG member. It describes the function or task performed, the MEF/PMEF supported, information requirements, expected deliverables and the business process elements that support the function or task to include associated interdependencies.

GO-KIT CHECKLIST. ERG members identify hardware, software, vital records (electronic and hardcopy), and supplies necessary to support the function/task at the continuity facility. While some of these may be pre-positioned at the continuity facility, they may not be available at a leased facility or home (telework). Coordination should occur with the continuity facility prior to transportation of hardware.

POSITIONAL TIMELINE. This template maps the expected operational tempo (OPTEMPO) that is expected to occur over the course of a shift for the ERG position. Time is annotated in a 0 plus hours manner with the start of the shift period listed as '0:00'. The ERG member maps the task description with the organizational elements normally involved with the completion of the activity. The primary resources generally needed for the completion of the task is also identified.

REPORTS/SCHEDULED EVENTS. List the required and/or recurring reports that must be completed in support of the ERG positions. The template information should include the date (or frequency) and time of the expected report. The name of the report or event is annotated with supporting information or offices necessary to completing the activity. The template should also include the primary responsible person (or element) and the offices that will receive the report. This template can be reproduced as a roster of suspense items and duplicated with the ERG member annotating completion of each report as scheduled.

INFORMATION SHARING PLAN. This template supports the ERG member in identification of the process for development of information sharing that will support decision making for leadership during a continuity event. The ERG member defines the information requirement and the essential elements of information needed. Also included are the elements that must collaborate to support the development of the information and the methodology involved. Identify any specific information deliverable resulting from the process. The template captures any critical

timing that is associated with the process and the person (or element) that the information is delivered to.

POINTS OF CONTACT. With this template the ERG members lists all stakeholders, partners and customers with their contact information. This list once associated with the position like other templates in this guide should be regularly updated with new information when it is identified or corrected as information changes. **NOTE: The accumulation of 4 or more D/A HQ Continuity Facility phone numbers results in the list becoming classified. If that is the case and you do not have classified storage available for this document. The user should leave the phone number fields blank.)**

COMMUNICATIONS ASSETS. Redundant communication capability is essential to continuity communication planning. This template charts all required/available communication resources with information that includes the system type (voice, radio or data) and the system name. Include the associated number, frequency, channel, etc.

VITAL RECORDS INVENTORY. Vital records must be available/accessible to support the performance of EFs in a continuity event. The template is the inventory of vital records necessary for the performance of the ERG position duties. The list should include the name of the document, form or template. Identify if this vital record resource is electronic or hard copy, and where it is physically is located. That information can be a computer shared drive, electronic media, a shelf, a drawer, etc.

ADDITIONAL INFORMATION REQUIREMENTS. Charts, graphs, maps or other critical information that may included, as required.

Positional Information

Name:	
Organization:	
Phone:	
Email Address:	
<p>Assignment Location. Identify position location at the continuity facility (as specific as possible to include room number):</p> <ul style="list-style-type: none"> ▪ Is this position identified as a telework position? ▪ Should this continuity position be considered for telework options? 	
<p>Identify recommended level of position and related information. (Provide grade and is the position considered a management position.) If the position is a management position, identify the number of ERG staff supervised and the ERG position titles.</p> <ul style="list-style-type: none"> ▪ Identify the ERG position that has supervisory responsibility for this position: 	
<p>Does this position have successorship or delegations of authority considerations/planning requirements:</p>	
<p>Identify special training or skill sets required for this position:</p>	
<p>Is this a sensitive position? If a security clearance is required, identify the requirement.</p>	
<p>Position description. Include functions/tasks performed in support of organizational Essential Functions.</p>	
<p>Position resource requirements. Include equipment (including IT/Communications), Vital Records (Electronic and hardcopy), Safety/Environmental considerations, software packages, supplies, GIS/Maps, etc. Include GO-KIT requirements.</p>	

ERG Activation Checklist

- Alert and Notification.** Did you receive notification in accordance with ENS procedures?
If no, explain:

- Transportation planning.** Do you have a map to the continuity facility? How did you travel to the continuity facility and was this the method identified in continuity plans?

If no, explain:

- Access and credentialing issues.** Identify issues to be addressed.

- Lodging, parking, and meals issues.** Identify issues to be addressed.

- IT/Vital Records.**
 - Did you log on to your computer as you normally would?
 - Does your position use a positional log-in to support shift changes?
 - Could you access personal and positional email accounts?
 - Do you have access to all required electronic files and vital records?
 - Are critical favorites or URLs available on your computer?
 - Does the ERG workstation have all required software packages installed?
 - Do you have adequate printing capability?
 - Do you have required communications capability? (to include phones, STE, fax, radio, GETS, WPS, etc)

- Interdependent Contact Information.** Do you have a list that contains contact information for all critical partners? (include internal organizational continuity contact information, partners, vendors, and stakeholders) Identify contact information needed.

- Family Support.** Have you been provided an emergency contact number for family members?

- Health and safety.** Does planning support health issues to include providing medical issues and prescription requirements to facility medical support personnel? Identify medical, disability, or special needs issues to be addressed.

Function/Task Description

ERG Position Title:	
Organization:	
Position Phone:	
Position Email:	
Task Description. Include activities performed in support of organizational Essential Functions.	
MEF or PMEF Supported. List title.	
<ul style="list-style-type: none"> ▪ Timeliness. How soon following activation must this task be addressed? 	
Identify Legal Requirements, Guidance and/or Doctrine.	
Identify Inputs. What resources/information is needed?	
Identify Outputs. What resources/information is delivered?	
Associated Leadership and Staffing Considerations.	
Communications requirements. Include all voice, radio, and data systems.	
Facility requirements. Identify all facility requirements need to support this function/task.	
<ul style="list-style-type: none"> ▪ Telework. Can this task be performed virtually or through telework? 	
Position resource requirements. Include equipment (including IT/Communications), Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc.	
Interdependencies. Identify stakeholders, partners and customers associated with this function/task.	

GO-KIT (or DRIVE-AWAY KITS) Checklist

Hardware. (Include laptop computer, etc.)

-
-
-
-
-

Software. (Include brand and version)

-
-
-
-
-

Electronic Media Storage/Databases.

Primary:

-
-
-
-
-

Optional:

-
-
-
-
-

Publications/Hard Copy Records.

Primary:

-
-
-
-
-

Optional:

-
-
-
-
-

Expendable Supplies.

-
-
-
-
-

Reports/Scheduled Events

Date or Frequency	Time	Report or Event	Supporting Information Sources	Responsible Office	Receiving Offices	Completed / Remarks

Information Sharing Plan

Information Requirement	Essential Elements of Information	Methodology / Sources	Responsible Elements	Deliverable	Collection Suspense	Distribute To

Points of Contact

(* NOTE: The accumulation of 4 or more D/A HQ Continuity Facility phone numbers results in the list becoming classified. If that is the case and you do not have storage for this document. The user should leave the phone number fields blank.)

Organization	Point of Contact	* Phone Number	Cell Phone	Fax	Email Address	* Alternate Phone Number

Communications Assets

System Type Voice/Radio/Data	System Name	Associated Number, Frequency, Channel, etc.	Additional Information

Vital Records Inventory

Vital Records Type (Electronic / Hardcopy)	Document, Form, Template Name	Vital Records Location (Shared Drive / Directory or Physical Room/Drawer)	Additional Information