**[Utility Name]**

**Business Continuity Plan**

**[Date]**

**Version [#]**

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Promulgation Statement

This Business Continuity Plan has been prepared for [Utility Name] and reviewed by [Authority]. The information included in this plan is business confidential and the responsibilities, authorities, and priorities are for use only after an incident as defined in this plan.

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[Title]

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# Business Continuity Plan Introduction

[The water drops like the one to the right are for plan development guidance only, and should be removed from the final document.]

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The purpose of this business continuity plan (BCP) is to support the overall mission of [Utility Name] and to provide tools and procedures to maintain viable strategies for business continuity and continuity of services in the wake of an event that poses an unacceptable risk of business and/or operational disruption to [Utility Name]. Specifically, the purpose includes the following:

* [Purpose #1]
* [Purpose #2]
* [Purpose #3]
* [Purpose #4]

This plan is intended to be a guideline for conducting continued operations to the extent possible with the understanding that this plan is part of the family of plans as described later in this section.

## Overview of BCP

The BCP is intended to minimize interruptions to continuity and recover the “mission essential functions” of the water utility as soon as possible. The plan is divided into the following sections:

* Introduction – Addresses the purpose and scope of the plan as well as defining the BCP scope, related policy, defining an incident, listing any plan assumptions, and explaining how the BCP integrates with other plans.
* Concept of Operations – Provides the structure and operational guidelines for using this BCP.
* Mission Essential Functions – Identifies and prioritizes those functions that are “mission essential.”
* Critical Resources – Identifies those resources that are critical to mission essential functions and addresses how to mitigate risks to ensure availability of those critical resources.
* Vital Records and Data – Identifies records, data, and other information that is critical to mission essential functions.
* Alternate Facilities – Provides an alternative facility plan in the event that key administrative or other operating facilities are impacted.
* Delegation of Authority – Provides a procedure for delegating authority in the event that normal approval levels need to be increased or supplemented.
* Succession Planning – Provides a plan in the event that key personnel are unavailable through leaves of absence, specifically temporary, however, it may include long-term or permanent.
* Alert Notification Procedures – Provides a procedure to quickly alert internal and external personnel of critical information through a call-tree.
* Devolution – Provides a last resort if [Utility Name] is unable to accomplish its mission.
* Reconstitution – Provides a procedure for [Utility Name] to return to normal operations.
* Tests, Training, and Exercises – Provides a policy and procedure for tests, training, and exercises to ensure that this BCP is and continues to be effective.

## Scope

The scope of this BCP is to address business disruptions that affect the following business services and functions for [Number] days before recovery:

* [Service #1]
* [Service #2]
* [Service #3]

In addition, the scope of this plan includes the following locations:

| Locations | Address |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |

Table 1: Facility Locations served by the BCP

The scope was clearly decided upon by the Business Continuity Planning Committee. The members of this committee are listed in Appendix A. The Business Continuity Planning Committee is explained in more detail in Section 2.0.

## Executive Policy Statement

The mission of [Utility Name] is [Insert brief mission statement here.] Consistent with this mission, the water utility is committed to protecting the health and safety of our employees. [Utility Name] will protect its property in accordance with regulatory requirements, and will strive to minimize property damage and any interruption of functions that would prohibit achieving the [Utility Name] mission.

[Utility Name] managers are authorized to take appropriate action to prevent hazards to the health and safety of personnel, [Utility Name] property, and business operations. Leaders of incident response, business continuity, and communications are authorized to take immediate action to protect people, property, and the mission of [Utility Name].

All employees should exercise care to maintain safe conditions and follow prescribed safety and security rules. All managers are responsible for the implementation of incident response and BCPs within their departments. They should work in conjunction with the Business Continuity Planning Coordinator, the Business Continuity Planning Committee, and management to identify hazards and to inform them of changes that require updates to existing plans. All employees should be familiar with and trained in their roles and responsibilities in the event of BCP activation.

The BCP and all plans shall be reviewed at least annually and updated as necessary. Tests, training, and exercises are conducted periodically to ensure that those who have a role in the BCP are competent to fulfill that role during an incident. This policy is signed by [Name and/or position].

## Hazard / Disaster / Emergency Incident Definition

[Select one from the following text or insert agency specific definition here]

[if “Incident Definition” is addressed in other water utility plans]

In accordance with the National Incident Management System (NIMS), the definition of an incident is an occurrence, natural or manmade, that requires a response to protect life or property. When this BCP is activated, business continuity activities shall follow the incident definition as described in Section [section number] of the [plan name]. The BCP may be activated for any incident level.

[if “incident Definition” needs to be established]

Four incident levels are used, based on the size and complexity of the incident:

|  |  |  |
| --- | --- | --- |
| Incident  Level | Level of Involvement | Definition |
| 0 |  |  |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

Table 2: Incident Level Definitions

## Assumptions

Assumptions for this BCP are as follows:

* This BCP is designed for up to [number of days] days of recovery before returning to normal operations. If the business disruption continues beyond [number of days] days, additional planning may be needed.
* This BCP is designed to address the resumption of services and functions including the disruption of water supply, mission-essential functions, or key resources that support those functions.
* This BCP is designed to address the following facilities at [Utility Name]: [facilities – or as identified in Table 1]
* [Excluded plans] are not part of this BCP but are available and designed to coordinate with this BCP.
* Staff members who have responsibilities under this BCP are trained in ICS, as appropriate, and in conducting their roles and responsibilities under this plan.
* This plan is updated and exercised as specified in Appendix [\_].
* [Other assumption]
* [Other assumption]

## Integration with Other Plans

This BCP coordinates with the other emergency preparedness, response, and recovery plans; however the BCP specifically addresses the continuity of mission essential functions and the resources that support those functions. Business continuity is a recovery strategy to facilitate a quick and viable recovery of mission essential functions to minimize downtime. The relationship between this BCP and other water utility plans and programs is illustrated in Figure 1.



Figure 1: BCP Relationship with Other Plans

The plans that supplement this BCP are listed in Table 3.

| **Type of Plan** | **Included Documents** |
| --- | --- |
| Hazard Mitigation Plans |  |
| Standard Operating Procedures to support Mission Essential Functions |  |
| Preparedness Plans |  |
| Response Plans |  |
| Recovery Plans |  |

Table 3: Plan Relationships

# Concept of Operations

This section provides users the structure and operational guidelines for use of this BCP.

## Roles and Responsibilities

Despite an employee’s designated role in normal business operations, once the BCP is activated, there may be additional roles to be filled. All employees have a role in the proper implementation of the BCP, but specific BCP management and implementation roles are stated below.

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### Business Continuity Planning Coordinator

The Business Continuity Planning Coordinator is [Title]. The Business Continuity Planning Coordinator is responsible for the following activities:

* Initiating the BCP and maintaining the effectiveness of the plan
* Holding regular meetings with the Business Continuity Planning Committee to garner support and coordination throughout the [Utility Name] organization
* Ensuring that employees are properly trained to carry out their responsibilities under this plan
* Managing the exercise program for this plan
* Coordinating BCP reviews and updates of this plan and the department plans in accordance with Appendix [\_]of this plan
* Ensuring that the most up-to-date copies of this plan are provided to [Utility Name] employees
* Engaging the Business Continuity Committee in plan reviews and exercises
* [Other responsibilities]
* [Other responsibilities]

### Business Continuity Planning Committee

The Business Continuity Planning Committee members are listed in Appendix Appendix A of this plan. The committee members are responsible for the following activities:

* Providing direction for the BCP, its management, updates, and reviews
* Ensuring that the BCP is consistent with other plans, policies, and procedures at the water utility including vulnerability assessments, risk assessments, and other documents and reports that support the mission of the water utility
* Participating in reviews
* Communicating BCP information to other staff and participating in training events as trainers, as appropriate
* Encouraging employee participation in business continuity planning, as appropriate
* [Other responsibilities]
* [Other responsibilities]

### Distribution List

Tables 3 and 4 provide the lists of the internal staff positions and external contacts, respectively, to which the complete BCP is distributed each time the plan is updated. Contact information for these individuals is provided in Appendix [\_] of this plan.

| Staff | Title |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

Table 4: Internal Distribution List

| Outside Parties | Title | Organization |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |

Table 5: External Agencies Distribution List

The list will be updated as part of the formal revisions/updates to the plan, as well as after significant organizational changes.

## Plan Accessibility, Security and Use

Some of the information in this BCP, if made public, could compromise the security and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of the utility or otherwise detrimentally affect the ability of [Utility Name] to perform essential functions. Distribution of this BCP, in its entirety, is limited to those employees who need to know the information in order to successfully activate and implement the plan. This plan in its entirety is to be available to all utility employees, with the exceptions of appendices [Insert appendices or sections with restricted access here.], which are only to be accessed by [Insert authorized parties here.]

This plan will be provided in electronic format [Insert location of electronic format here.], but should be available in hardcopy form in the event of a lack of computer accessibility.

[For utilities that choose to distribute the BCP to outside entities:]

Because of inter-dependencies in the community, this plan is also to be distributed to [list outside entities].

Any decision to disclose information in this plan outside the utility or to withhold information in this plan from a non-utility requester must be coordinated with the Business Continuity Planning Coordinator.

## Plan Activation

In the event the Business Continuity Planning Coordinator and utility management deem an incident likely to jeopardize or disrupt business continuity at [utility name], the Business Continuity Planning Coordinator shall activate the BCP. For some incidents, the Business Continuity Planning Coordinator may need to consult with [Insert other party that may have say in plan activation.] before activating the BCP.

BCP triggering events may include the following:

* + - Loss of critical facility
    - Loss of critical system or process
    - Loss of critical equipment
    - Loss of critical material or supplies
    - Unavailability of personnel
    - Power Outage
    - [Other triggering event]
    - [Other triggering event]

Figure 2 below depicts an overview of the phases of an incident.



Figure 2: Plan Activation Process

## Plan Deactivation

The Business Continuity Planning Coordinator and management determine when to deactivate the BCP after it has been activated. This decision is made based on the assessment that business continuity is acceptably recovered. See Section 1.0 for more information.

# Mission Essential Functions

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The overall operations of [Utility Name] have been analyzed to determine the components, processes, and requirements that are essential to the continued performance of the utility. These are called the Mission Essential Functions (MEFs). It is crucial that employees recognize that all prioritization in this and subsequent sections is for use only when the BCP is activated.

## Identification and Prioritization

After an incident, the MEFs should be a priority, based on the rankings presented in Table 5. This order takes into account functions that are necessary for the performance of other MEFs, and are to be used as guidance in the event of an incident.

|  |  |  |  |
| --- | --- | --- | --- |
| Ranking | Departments | MEF | Possible Disruptions |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |

Table 6: MEF List

## Recovery Time Objectives

Each MEF has its own Recovery Time Objective (RTO) as presented in Table 6. The RTO is the maximum timeframe before the interruption or disruption of a MEF causes significant impact to [Utility Name] and its mission. Resources should be allocated in a manner that will return each MEF to normal function within the RTO.

|  |  |  |
| --- | --- | --- |
| RTO | Department | MEF |
|  |  |  |
|  |  |  |
|  |  |  |

Table 7: Recovery Time Objectives of MEF

## Mobilization Requirements

In order to accomplish certain MEFs, the mobilization efforts presented in Table 7 need to occur.

|  |  |  |
| --- | --- | --- |
| Ranking | MEF | Mobilization Requirements |
|  |  |  |
|  |  |  |
|  |  |  |

Table 8: Mobilization Requirements of MEF

## Security and Safety Requirements

If the Business Continuity Planning Coordinator deems that it is necessary, additional safety and security measures may be necessary that are not a part of normal operations. These are to be treated as MEFs, and may require personnel to have additional training as discussed in Appendix Appendix D. These additional MEFs are provided in Table 8. [or reference appendices]

|  |  |
| --- | --- |
| MEF | Situation Description |
|  |  |
|  |  |
|  |  |
|  |  |

Table 9: MEFs to Provide Security and Safety to Utility

## Internal Inter-dependencies

Many departments within the utility are dependent on other departments to accomplish MEFs. Sometimes, employees are not even aware of these dependencies. Table 9 provides a list of critical internal inter-dependencies.

|  |  |  |  |
| --- | --- | --- | --- |
| MEF | Dependency | Needed By (Department) | Provided By (Department) |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Table 10: Internal Inter-dependencies

# Critical Resources

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In order to be able to fulfill each MEF, it is necessary to identify and address all the critical resources needed to successfully accomplish the function. In order to identify all critical resources, a detailed examination and brainstorming of the primary and secondary resources needed to fulfill each MEF needs to occur.

The critical resources are identified and grouped in the categories provided in the National Fire Protection Association (NFPA) 1600 Standard on Disaster / Emergency Management and Business Continuity Programs, which are:

* + - Systems
    - Equipment
    - Materials and supplies
    - Personnel

This section is divided into additional information on those four resource groups, as well as:

* + - Mutual aid and assistance
    - IT

## Systems

For the purposes of this BCP, a system is an assemblage of permanent equipment and assets that work together to fulfill a MEF. Systems that have been identified for [Utility Name] include:

* + - [System #1]
    - [System #2]

Each of these systems includes many sub-systems and components. Each critical sub-system and component has been identified to address critical elements and potential single points of failure (SPF). Some of the major subsystems and components for each system include.

* + - [Critical Sub-System #1]
    - [Critical Sub-System #2]

Specific critical sub-systems and components will vary based on the specifics of each system.

## Equipment

Table 10 provides information on the equipment necessary to perform each MEF.

|  |  |  |  |
| --- | --- | --- | --- |
| MEF | Equipment | Number Needed | Alternate Options |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Table 11: Critical Equipment

## Materials and Supplies

Table 11 provides information on the critical materials and supplies necessary to continue or restore each MEF.

|  |  |  |
| --- | --- | --- |
| MEF | Materials and Supplies Needed | Alternate Options |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Table 12: Critical Materials and Supplies

## Personnel

The following personnel are necessary to perform the MEF as listed in this document.

|  |  |  |
| --- | --- | --- |
| MEF | Duty | Assignment |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Table 13: Personnel Necessary to Perform MEF

## Mutual Aid and Assistance

[Utility Name] is a member of [WARN Name], which is a network of mutual aid resources for the water sector. In the event that critical resources are unavailable, [WARN Name] is to be accessed via the following process:

[Insert WARN activation protocol here.]

[Insert information on any other mutual aid or assistance agreements here.]

## Information Technology

The IT Disaster Recovery Coordinator for [Utility Name] is indicated in Appendix [\_].

This BCP anticipates a common critical path for recovery operations at [Utility Name]. The process has seven stages:

* + - Immediate response
    - Environmental restoration
    - Functional restoration
    - Data synchronization
    - Recovery
    - Alternate facility operations
    - Reconstitution

IT recovery needs to be consistent with the timeframes established for the MEF served as listed in Section 3.0.

The following IT resources are required to perform or produce MEFs within the [Utility Name]]:

* [IT Resource #1]
* [IT Resource #2]

IT services and infrastructure may require specialized vendors. If necessary, use the resources listed in Appendix [\_] for IT repair, recovery, maintenance, sales and emergency installation:

# Vital Records and Data

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This section is to provide accurate identification, protection, availability, and access of vital records and data during threats, emergencies, and recovery periods. This includes vital records, databases, information systems, and associated equipment needed to perform mission essential functions. A list of vital records, the form of the record, storage and backup options, maintenance frequency, and point of contact are listed in Appendix [\_].

# Alternate Facilities

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In the event that facilities are unavailable for their primary use, alternate facilities will be utilized to continue the operation of MEFs.

## Pre-established Facilities

[Utility Name] has the following facilities available to accommodate the performance of MEFs:

* + - [Facility #1 and MEF]
    - [Facility #2 and MEF]
    - [Facility #3 and MEF]

In addition to these facilities, a contract is in place with [List any entities with whom a contract is in place for emergency relocation procedures here.] to use available space.

[Insert details for activation of pre-arranged alternate facility agreements here.]

## Emergency Acquisition Protocols

In the event that the pre-established facilities are unavailable to meet the needs of the MEF, additional facilities may need to be acquired. [Title of person or persons who have authority to oversee emergency acquisition] has the authority to oversee the emergency acquisition of alternate facilities. It is important that the following protocols be adhered to in the acquisition process:

* + - [Protocol #1]
    - [Protocol #2]
    - [Protocol #3]

## Tele-working

If possible, employees are encouraged to work from home if their primary work location is unavailable and their job duties can be sufficiently accomplished remotely. It is important for employees to communicate with their superiors if working from home, and provide communication details to and MEF, such as phone numbers where they can be reached.

Time reporting while working from home needs to be documented by [procedure here].

Documentation of [any special job details that need documentation] is to be [procedure here].

## Relocation Procedures

In the event that MEF work is moved to an alternate facility, it is important that the needs of those MEFs move with the employees. The critical resources and equipment listed in previous sections need to be accommodated by the alternate facility in the event of relocation. The following procedures need to accompany the relocation to an alternate facility to provide continuity:

* + - Networking – [Departments or personnel] will need access to [access necessary, and any elaboration on networking needs and special requirements here].
    - Communication – [Departments or personnel] need [phones, satellite phones, radios, etc.]
    - Documentation – [vital record] are to be stored at [location] until it can be relocated to [primary storage facility].
    - Power Supply – [details of power supply requirements]
    - Equipment – [details of equipment requirements]
    - Space Assignment Procedures – When space is limited, not all employees will have a replication of the space available to them in normal operating procedures. Available space will be given to employees working on higher ranking MEFs as listed in Section 3.0. The Business Continuity Planning Coordinator will delegate the assignment of available space to the appropriate managers, if necessary.
    - [Other procedure]
    - [Other procedure]

# Delegation of Authority

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In the event of an incident some authorities may be granted to employees that are not authorized in normal operations. In some cases, legal authority may need to be granted to the person that would take on an authority after an incident. The positions listed to take over authorities for specific functions listed here have this authority only while the BCP is activated and delegation of authority is necessary.

| **Department** | **Authority** | **Primary Alternate** | **Secondary Alternate** | **Tertiary Alternate** | **Fourth Alternate** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Table 14: Delegations of Authority

In the event that delegation of authority is necessary, the alternate will be notified by the Business Continuity Planning Coordinator or a designee. [Insert any other notification procedures here, such as notifying other employees within the organization, external clients, or regulatory authorities of the change in authority.]

Each employee is to be aware that they may be asked to take on certain authorities, and to receive training for the responsibilities that they may be called upon to fill, as necessary. The alternate delegate of authority is granted the primary authority’s access and rights until relieved by the Business Continuity Planning Coordinator or their supervisor.

# Succession Planning

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Orders of succession have been pre-identified to adhere to [state regulations here], and to ensure effective operation of the MEFs in the event that the incumbent of the position is not available. Lines of succession for [Utility Name] are provided in Table 15:

| **Department** | **Position** | **Primary Alternate** | **Secondary Alternate** | **Tertiary Alternate** | **Fourth Alternate** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Table 15: Orders of Succession

In the event that the incumbent is unavailable, the successor will be notified by the Business Continuity Planning Coordinator. [Insert any other notification procedures here, such as notifying other employees within the organization, external clients, or regulatory authorities of the change in position.]

Each employee is to be aware that they are the successor to a position, and to receive training for the position that they may be called to fill, as necessary. The successor to the primary person that holds the position is to take on all duties of the incumbent until relieved by the Business Continuity Planning Coordinator.

This does not replace official management succession plans for times when the BCP is not activated.

# Alert Notification Procedures

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In the event that the BCP is activated, some, if not all, employees need to be notified. This section goes beyond the Crisis Communication Plan to identify when, what, and how employees are notified when the BCP is activated.

## Internal Communications

It is important that all employees know how communications will be delivered, so that they can stay updated on details such as reporting to work, special assignments, and the availability of resources. In accordance with other Emergency Protocol within the utility, employees will be notified of business continuity matters through [procedures listed here].

## External Communications

External communications are addressed in the [Utility Name] Crisis Communication Plan (CCP). While external communication is handled through the PIO to the media, keep in mind that key external contacts may need to be aware of the situation. These contacts are listed in Appendix [\_].

## Additional Modes of Communication

A BCP activation incident may make the above referenced communication methods ineffective. In an effort to communicate effectively internally and externally, the following notification procedures will also be utilized:

* + - Announcements on local television station [station call letters]
    - Announcements on local radio station(s) [station numbers]
    - [Other means of communication]
    - [Other means of communication]

# Devolution

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Devolution is what will happen if all the best planning efforts are not sufficient, and administration and rights, powers, property and responsibility needs to be transferred to an outside entity. In the event that the MEFs cannot be accomplished by [Utility Name] or any department within it, the following devolution procedures will be activated.

[Insert any specific devolution plans.]

# 

# Reconstitution

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Reconstitution operations begin when the Business Continuity Planning Coordinator determines that the emergency situation has ended and all danger is past.

Time required for complete reconstitution depends on the status of [list treatment plants, intakes, outfalls, pipelines and supporting IT infrastructure here.] Determining the status of these facilities and systems will include:

## Assessment of the primary operating facility

During continuity operations, the [Title] will assess the status of the primary operating facility. To determine that it is ready to be occupied for its designated use.

## Returning to Normal Operations

The Business Continuity Planning Coordinator will make notifications of return to normal operations. These notifications should include continuity activation and relocation status, alternate location, operational and communication status, and anticipated duration of relocation.

The [Resource Manager] develops space allocation and facility requirements and makes arrangements for moving equipment and transporting staff.

The [Title] notifies all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using [method of communication].

The Business Continuity Planning Coordinator coordinates with the local government authorities, agencies that are supplying mutual aid, WARN, and/or other applicable organizations.

When the appropriate personnel, equipment, and documents are in place at the primary operating facility, staff at the continuity facility or devolution site transfer essential functions, cease operations, and deploy to the primary operating facility, temporary operating facility, or new or rebuilt operating facility.

The [Title] oversee(s) the orderly transition of all the utility functions, personnel, equipment, and records to the primary operating facility, a temporary operating facility, or new or rebuilt operating facility.

The [Title] will coordinate a process for receiving and processing employee claims during the continuity or devolution event, including processing human capital claims such as [worker’s compensation for injuries, overtime pay, other] and replacing lost or broken equipment.

The [Title] will account for all employees in the recovery process through [method].

# Tests Training and Exercises

For effective implementation of this BCP, the end users must be educated on the contents of the BCP and the activation and use of the document. All aspects of the plan must be tested including alternate facility operations, relocation of personnel and equipment, specific equipment, and procedures. Employees will be given opportunities to practice the required functions and procedures in non-threatening environments. Appendix [\_] provides the plan for the tests, training, and exercises that have been determined to keep this plan at optimal efficacy.

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1. Business Continuity Planning Committee Members

| Name | Title |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |

1. Employee Preparedness

[Utility Name] holds safeguarding the welfare of its employees and their families among its top priorities. This Employee Preparedness Plan is intended to provide guidance to employees and their families regarding preparation and response to an incident that threatens to disrupt home life. Families should not rely solely on this document for guidance on preparing for a disruption. Those wishing to learn more about emergency management for their families should review information on [www.ready.gov](http://www.ready.gov/) from the Federal Emergency Management Agency (FEMA) as well as checking with their municipal/local emergency management agency.

Taking care to prepare employees and their families will help personnel focus on their service to [Utility Name] in times when the entire community is affected.

## Building an Emergency Supply Kit

Each employee is encouraged to build an emergency supply kit for their home. The basic supply kit is listed at [www.ready.gov](http://www.ready.gov). The supplies should be kept in an easy-to-carry package that can be used at home or easily transported in case evacuation is necessary.

To assist employees in preparing a supply kit, [list any employee assistance measures here, such as annual reminders, community preparation resources, or group purchasing options].

## Developing a Family Emergency Plan

Employees should have a family emergency plan so that after an incident they can maintain communication and safety. All employees should:

* + - Prepare a communication plan
    - Prepare an evacuation plan
    - Develop an emergency supply kit
    - Subscribe to community alert systems, such as [local alert systems]
    - Have an out-of-state emergency contact, and be sure that each family member knows the contact information
    - Be aware that long distance service on land lines may work better than local service or cell towers; text messaging may also be a good communication option
    - [Other recommended planning step]
    - [Other recommended planning step]

Additional resources, including an Emergency Plan Template, are available at [www.ready.gov](http://www.ready.gov).

## Other Employee Support

After an incident, employees may not be able to focus on their work because of other obligations in the recovery efforts in their personal lives. At this time, [Utility Name] may offer assistance to employees including:

* + - Advice and guidance for filing insurance or other assistance claims
    - Counseling services
    - Special check-cashing services
    - Ability for employees to purchase family emergency supplies through the water utility, perhaps through payroll deduction
    - [Insert other assistance.]
    - [Insert other assistance.]

The Business Continuity Planning Coordinator, or designee, will consider the need and availability of these resources on an incident by incident basis.

1. Plan Maintenance

A viable plan is an updated plan. Plan maintenance, which encompasses keeping contact lists current, as well as keeping the strategies, timeframes and resources up to date, is key to having a plan that will work during activation.

## Annual Evaluation

Once a year, this BCP shall be evaluated and updated, as necessary. This will be the responsibility of the Business Continuity Planning Coordinator, and will occur in combination with [Insert annual bookkeeping effort that will coordinate with BCP maintenance.]

### Identifying Necessary Changes

As the concept of business continuity is accepted within [Utility Name] culture, it becomes easier and easier to identify changes in the daily operating procedures or resources that will impact the BCP operations. This mindfulness should be incorporated in BCP updates.

New computer systems, priorities, timeframes, resources, management and interdependencies can all impact the viability of the BCP. These changes in business practice should be noted throughout the year so that they are not forgotten when the scheduled plan maintenance window has arrived. When it is time to update the plan, an inventory of the systems, personnel, procedures, and promises to customers should be assessed. Keeping track of the changes as they occur can simplify the inventory process.

### Responsible Party

Each employee is responsible for the recovery of daily responsibilities. As every employee becomes aware of the continuity plan, they should be sure it protects the MEFs that are executed each day. Alternatively, the direct responsibility should fall on management and the Business Continuity Planning Committee that has been created. The planning committee should be mindful about the changes that occur within the utility and how those will impact the BCP.

1. Tests, training, and exercises

For effective implementation of the BCP, the users must be educated on the contents of the BCP and the activation and use of the document. All aspects of the plan must be tested including alternate facility operations, relocation of personnel and equipment, specific equipment, and procedures. Employees should be given opportunities to practice the required functions and procedures in non-threatening environments. Drills and exercises make this possible.

### Equipment

Any equipment that is not used in day-to-day operations that may be necessary in the performance of MEFs in the event of BCP activation needs to be inspected and tested for functionality [frequency]. This includes, but is not limited to:

* + - Generators
    - Radios
    - Testing equipment
    - [Other critical equipment]
    - [Other critical equipment]
    - [Other critical equipment]

### Activation

Key components of the BCP activation shall be tested annually by the Business Continuity Planning Coordinator. This shall include an evaluation of the delegation of authorities, succession plan, alternate facilities, equipment, and vital records, for efficacy and accuracy. The communication plans shall be tested, and all phone numbers, contact information, passwords, communication methods, and IT systems that are designated to assist in the performance of MEF are to have reliability determined.

### Outside Testing

[Designate outside agency] is to review the BCP operations [frequency].

## Training

Training needs to occur from the first day that an employee joins the utility, and be updated throughout each BCP user’s career. A roster is to be kept of all training attendees for verification that business continuity personnel are properly informed.

### Orientation

The BCP is to be incorporated in the new employee orientation training, as conducted by [orientation coordinator]. New employees are to be informed of:

* + - BCP location, as described in Section 0
    - BCP activation procedures
    - Their role in implementing the BCP
    - [Other BCP information]
    - [Other BCP information]
    - [Other BCP information]

### Refresher Training

Employees should receive a brief refresher of the requirements of the BCP and their role in the activation of the plan [frequency] as a part of [already scheduled training]. This training will include alternate operating locations, equipment and procedures, maximum allowed downtimes, emergency procedures, notification, personal preparation and reporting procedures. [Attach the utility annual training plan with allowances for BCP requirements.]

When the plan is updated or changed, additional training is required for all continuity staff at the discretion of the Business Continuity Planning Coordinator.

### Specialized Training

Employees with specialized, key, or complex roles in the BCP will need additional training to prepare for BCP activation. These employees are:

* + - Business Continuity Planning Coordinator
    - IT director or administrator
    - Alternates to any key MEF positions
    - Supervisors
    - [Other key role]
    - [Other key role]

The Business Continuity Planning Coordinator, and those expected to succeed the position as listed in Section 8.0, should be trained in NIMS and ICS. [Other necessary local training and/or WARN training should be listed here.]

## Exercises

A tabletop exercise simulating the BCP activation is to be executed [frequency]. This may be incorporated with [other regularly planned emergency management exercises].

1. Vital Records and Data

| Vital Records/ Database | Form of Record (e.g. hardcopy, electronic) | Pre-positioned at Alternate Facility? (Y/N) | Hand Carried to Alternate Facility | Storage Locations(s) | Maintenance Frequency | POC + Phone |
| --- | --- | --- | --- | --- | --- | --- |
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Annexes

[Include Annex Documents as deemed necessary, such as the BCP for parent organizations, other emergency preparedness plans, or utility guidance documents]

ABBREVIATIONS

AAR – After Action Report

AWWA – American Water Works Association

ANSI – American National Standards Institute

BCP – Business Continuity Plan

CAT - Continuity Assistance Tool

CCP – Crises Communication Plan

COOP – Continuity of Operations Plan

DRP – Disaster Recovery Plan

EPA – Environmental Protection Agency

EOC – Emergency Operations Center

EOP – Emergency Operations Plan

ERP – Emergency Response Plan

FEMA – Federal Emergency Management Agency

FRP – Fire Response Plan

GETS - Government Emergency Telecommunications Service

GIS - Geographic Information System

ICS – Incident Command System

IT – Information Technology

ISAC - Information Sharing and Analysis Center

MEF - Mission Essential Functions

MTD – Maximum Tolerable Downtime

NFPA – National Fire Protection Association

NIMS – National Incident Management System

POD – Point of Dispensing

RAM-W™ - Risk Assessment Methodology for Water

RAMCAPSM - Risk Analysis and Management for Critical Asset Protection

RMP - Risk Management Plan

ROI – Return on Investment

RRAP -Regional Resiliency Assessment Program

SCADA – Supervisory Control and Data Acquisition

SPCC – Spill Prevention, Control, and Countermeasure Plan

SPF - Single Point of Failure

TPR – Trained Personnel Requirement

VA – Vulnerability Assessment

VSAT™ - Vulnerability Self-Assessment Tool

WARN – Water / Wastewater Agency Response Network

WHEAT – Water Health and Economic Analysis Tool

WSCC – Water Sector Coordinating Council

WPS - Wireless Priority Service