INTRODUCTION

The following worksheet is derived from the Continuity Capability Evaluation for the Emergency Services Sector (CCE) to assist Emergency Services Sector organizations in evaluating and filling gaps in their continuity capability. For more information, visit the Emergency Services Sector Continuity Planning Suite.

Orders of succession are provisions that enable an orderly and predefined transition of organizational leadership positions if an organization's leader is incapacitated or becomes otherwise unavailable during an emergency event. Orders of succession are an essential part of an organization's continuity plans and should reach to a sufficient depth and have sufficient breadth to ensure the organization can perform its essential functions during the course of any emergency. Geographical dispersion, including use of regional, field, or satellite leadership in the standard organization line of succession, is encouraged and ensures roles and responsibilities can transfer in all contingencies.

INSTRUCTIONS

As one of 11 elements of continuity capability, orders of succession contains objectives supporting the element and practices fulfilling each objective. Review the following objectives and practices. For each practice, select Yes, No, or N/A to represent whether your organization has completed the action described in the practice. Include comments that provide information explaining how the practice is complete or why it is not complete. Tally all selections for the element and record them in the Totals below. For guidance on how to choose between Yes, No, or N/A for each practice of the element, see the Introduction of the CCE.

Total Yes: _____

Total No: _____

Total N/A: _____

To support filling gaps in continuity identified by evaluating the practices, see the Orders of Succession Planning Template and the Orders of Succession Checklist that follow.

Objective 2.1

Identify and document a clear line of succession, in the absence of leadership during the course of any emergency, to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws.

Practice 2.1.1

The organization has established and documented orders of succession in advance and in accordance with applicable laws to ensure that there is an orderly and predefined transition of leadership during any emergency.

Yes   No   N/A

Comments:

Practice 2.1.2

The organization has established an order of succession for the position of organization head to ensure a designated official is available to serve as acting head of the organization until that official is appointed by the appropriate authority, replaced by the permanently appointed official, or otherwise relieved.

Yes   No   N/A

Comments:

Practice 2.1.3

The organization has established orders of succession for other key organization leadership positions, including but not limited to administrators, regional or field directors, and key managers.

Yes   No   N/A

Comments:

Practice 2.1.4

Within each order of succession, the organization has included at least three positions permitted to succeed to the identified leadership position.

Yes   No   N/A

Comments:

Objective 2.2

Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public

Practice 2.2.1

The organization has described orders of succession by positions or titles, rather than by the names of the individuals holding those offices.

Yes   No   N/A

Comments:_____

ORDERS OF SUCCESSION PLANNING TEMPLATE

This section provides a template for orders of succession planning, adapted from the Federal Emergency Management Agency Continuity Plan Template and Instructions for Non-Federal Governments. The template may be modified as appropriate based on the mission, needs, and other characteristics of the organization.

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. Sample text, including placeholders for organization input, are provided below.

The [Organization Name]_____ has identified successors for the [Leadership Positions requiring orders of succession, organization head, and other key positions]_____.

A copy of these orders of succession can be found at [location]_____.

The [Office/Title]_____ is responsible for ensuring orders are up to date.

When changes occur, the [Office/Title]_____ will distribute the changes to [Office/Groups]_____ by [method of distribution]_____.

The orders of succession for [Organization Name]_____:

- Are at least three positions deep, where possible, ensuring sufficient depth to ensure the ability of [Organization Name]_____ to manage and direct its essential functions and operations

- Include devolution counterparts, where applicable

- Are geographically dispersed, where feasible

- Are described by positions or titles, rather than by names of individuals holding those offices

- Are reviewed by the organization's legal department as changes occur

- Are included as an essential record, with copies accessible and/or available at both the primary operating facility and continuity facilities at [location]_____.

In addition, each order of succession identifies the rules and procedures designated officials should follow when facing issues of succession to office during continuity events and reference applicable laws and organization policies.

List any temporal, geographical, and/or organizational limitations to the authorities in the orders of succession: _____

In the event of a change in leadership status, the [Organization Name]_____ must notify the successors, as well as internal and external stakeholders.

In the event the [Organization Name]_____
leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, the [Office/Title]_____
will initiate a notification of the next successor in line. List additional methods and procedures of notification: _____.

The [Office/Title]_____ will use the following procedures to notify internal and external stakeholders of the change in leadership: List procedures of notification: _____.

The [Organization Name]_____ training records document the annual successor training for all personnel who assume the authority and responsibility of the organization's leadership, to include briefing successors to the position of the [Organization Head]_____ on their responsibilities and duties as a successor.

Methods of successor training include [training methods]_____.
This training is reflected in the [Organization Name]_____
training records located at [location]_____.

Organization Name:

Date:

Position #1:

Position #1 First Designated Successor:

Position #1 Second Designated Successor:

Position #1 Third Designated Successor;

Position #2:

Position #2 First Designated Successor:

Position #2 Second Designated Successor:

Position #2 Third Designated Successor:

Position #3:

Position #3 First Designated Successor:

Position #3 Second Designated Successor:

Position #3 Third Designated Successor:

ORDERS OF SUCCESSION CHECKLIST

The following checklist may be used as orders of succession are reviewed to ensure that all orders of succession address important aspects of effectiveness.

All orders of succession should include limitations of authority based on delegations of authority to others.

All orders of succession should be described by positions or titles, rather than by names.

All orders of succession should be included in the organization's vital records, referenced in the Emergency Operations Plan, and available if necessary.

Orders of succession should be revised as necessary and distributed promptly after revisions occur.

All orders of succession should establish the rules and procedures designated officials are to follow when facing the issues of succession to office in emergency situations.

All orders of succession should include the conditions under which succession will take place; the method of notification; and any temporal, geographic, or organizational limits on authorities granted.

Where possible, successors should be assigned among emergency teams or response agencies to ensure that each team or agency has an equitable share of duly constituted leadership.

All orders of succession should incorporate orientation programs for successors to ensure that they are knowledgeable of their emergency duties.