9.1.3 The program shall be re-evaluated when a change in any of the following impacts the entity's program:

(1) Regulations
(2) Hazards and potential impacts
(3) Resource availability or capability
(4) Entity's organization
(5)* Funding changes

A.9.1.3(5) Many emergency management entities and programs in public, private, and non-profit sectors are supported in part by grants from government entities or private sources. A change in grant assistance could materially impact the entity's program, necessitating an evaluation of the program.

(6) Infrastructure, including technology environment
(7) Economic and geographic stability
(8) Entity operations
(9) Critical suppliers

Paragraph 9.1.3 provides a list of conditions that require an entity to re-evaluate the program. Other incidents that might cause a re-evaluation of the program include change in the processing of raw materials, disruption of any part of the supply chain, or a change in organized labor. It is recommended that the entity review and change, as needed, the list of events causing re-evaluation.

9.1.4 Reviews shall include post-incident analyses, reviews of lessons learned, and reviews of program performance.

The process of critiques after exercises and actual emergency incidents should be identical in format and rigor.

9.1.5 The entity shall maintain records of its reviews and evaluations, in accordance with the records management practices developed under Section 4.7.

9.1.6 Documentation, records, and reports shall be provided to management for review and follow-up.

Reviews by top management and senior leaders will demonstrate management commitment and leadership as required in Section 4.1.

9.2* Corrective Action.

A.9.2 The corrective action process should follow a review of the program or follow an actual event or exercise to identify program deficiencies and take necessary corrective actions to address such deficiencies. The corrective action program should include techniques to manage the capabilities improvement process. The corrective action program should begin following the "after-action" discussion/critique of the incident or exercise or should take place during the incident if a lengthy or extended event is being managed.

During the evaluation process, deficiencies that require improvement should be identified. Process deficiencies should be identified within one or more of the program elements found in this standard.

Corrective actions should be identified by the following:

(1) Changes to regulations, policy, plans, or procedures
(2) Additions or modifications to facilities, systems, or equipment
(3) Results of exercises and testing
(4) After-action reviews of actual incidents

A task group should be assigned to each identified area of noted deficiency to develop the necessary actions for improvement, and a time schedule for development of the necessary corrective action should be established.

The task group should take the following actions:

(1) Develop options for appropriate corrective action
(2) Make recommendations for a preferred option
(3) Develop an implementation plan, including training if required
(4) Ensure that during the next exercise the corrective actions are evaluated to determine if the corrective actions have been successful

The entity should establish a process to identify the root cause of the deficiencies noted. The entity also should establish a change management process (i.e., a process involving all sectors of an entity's operations in which changes to the operations are reflected in the plan and, vice versa, changes in the plan are reflected in the entity's operations).

9.2.1* The entity shall establish a corrective action process.

A.9.2.1 The corrective action process should include the following:

(1) Development of a problem statement that states the problem and identifies its impacts
(2) Review of corrective action issues from previous evaluations and identification of possible solutions to the problem
(3) Selection of a corrective action strategy and prioritization of the actions to be taken, as well as an associated schedule for completion
(4) Provision of authority and resources to the individual assigned responsibility and accountability for implementation, so that the designated change can be accomplished
(5) Identification of the resources required to implement the strategy
(6) Check of the progress of completing the corrective action
(7) Forwarding of problems that need to be resolved by higher authorities to the level of authority that can resolve the problem
(8) Once the problem is solved, testing of the solution through exercising

Applying the possible solutions will allow the entity to determine whether the solutions have addressed the identified gaps in performance needs.

9.2.2* The entity shall take corrective action on deficiencies identified.

A.9.2.2 The appropriate corrective actions might not be taken due to budgetary or other constraints or might be deferred as a part of the long-range capital project. However, temporary actions could be adopted until the desired option is funded and implemented.

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The documentation of deferred corrective actions is essential; the reason for the deferral is essential to the documentation. The documentation should be managed in accordance with the entity's records management process.

9.3 Continuous Improvement.

The entity shall effect continuous improvement of the program through the use of program reviews and the corrective action process.

The program reviews and corrective action processes should be robust and effective.

ACT

Explanatory Material
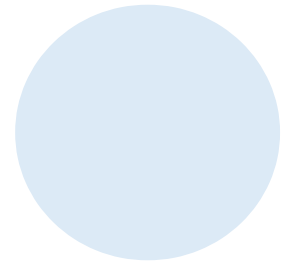
Annex A is not a part of the requirements of this NFPA document but is included for informational purposes only. This annex contains explanatory material, numbered to correspond with the applicable text paragraphs.

Annex material is useful information that is included in this document to help the user understand the intent of the requirements by providing further information, diagrams, examples, or other details.

The Annex A material, along with the mandatory sections of *NFPA 1600*, is voted on by the document's technical committee. Unlike the Annex A material, the commentary in this handbook consists of the opinions of the editors and contributors of this handbook — not the committee — to help further explain provisions in the document. For the convenience of the readers of this handbook, Annex A text is inserted after the appropriate paragraphs in Chapter 1 through Chapter 9 and, therefore, is not repeated here.

Self-Assessment for Conformity with *NFPA 1600*, 2016 Edition

This annex is not a part of the requirements of this NFPA document but is included for informational purposes only.

This self-assessment tool was added to the standard to aid those trying to implement *NFPA 1600*. This annex can be used for various purposes, including the following:

1. As a guide for the integration of existing, separated emergency management and business continuity functions into a single program
2. As an aid to developing program reviews, assessments, and audits
3. As a guide for instructional development of undergraduate and graduate emergency management and homeland security curricula, and individual courses
4. As a university course assignment tool for both graduate and undergraduate students

The column identifications can be changed to meet the needs of the entity. In the 2016 edition of *NFPA 1600*, the list of hazards has been embedded into Section 5.1, Risk Assessment, and this checklist is included under that section. In past editions, the risk assessment process used the list of hazards in Annex A.

B.1 Table B.1 shows a self-assessment tool that is intended to assist entities in determining conformity with the requirements of *NFPA 1600*. The table includes a list of hazards from Annex A and also repeats text from the body of the standard where needed to make the self-assessment tool more user friendly. Users of this self-assessment tool can indicate conformity, partial conformity, or nonconformity as well as evidence of conformity, corrective action, task assignment, a schedule for action, or other information in the Comments column.

This table has columns for conformity and nonconformity, and the use of these columns should show clearly whether the requirement has or has not been met. The intention is for the user to put a check or an X mark into one of the first two columns. The comments column is where users can include additional information, and the use of this section can vary based on the needs of the user.

TABLE B.1 *Self-Assessment Tool for Conformity with the 2016 Edition of NFPA 1600*

NFPA 1600 Program Elements	Conforming	Nonconforming	Comments
Chapter 4 Program Management **4.1* Leadership and Commitment.** **4.1.1** The entity leadership shall demonstrate commitment to the program to prevent, mitigate the consequences of, prepare for, respond to, maintain continuity during, and recover from incidents.			
4.1.2 The leadership commitment shall include the following: (1) Support the development, implementation, and maintenance of the program			
(2) Provide necessary resources to support the program			
(3) Ensure the program is reviewed and evaluated as needed to ensure program effectiveness			
(4) Support corrective action to address program deficiencies			
4.1.3 The entity shall adhere to policies, execute plans, and follow procedures developed to support the program.			
4.2* Program Coordinator. The program coordinator shall be appointed by the entity's leadership and authorized to develop, implement, administer, evaluate, and maintain the program.			
4.3 Program Committee. **4.3.1*** A program committee shall be established by the entity in accordance with its policy.			
4.3.2 The program committee shall provide input and/or assist in the coordination of the preparation, development, implementation, evaluation, and maintenance of the program.			
4.3.3* The program committee shall include the program coordinator and others who have the expertise, the knowledge of the entity, and the capability to identify resources from all key functional areas within the entity and shall solicit applicable external representation.			
4.4 Program Administration. **4.4.1** The entity shall have a documented program that includes the following: (1) Executive policy, including vision, mission statement, roles, and responsibilities, and enabling authority			
(2)* Program scope, goals, performance, objectives, and metrics for program evaluation			
(3)* Applicable authorities, legislation, regulations, and industry codes of practice as required by Section 4.5			
(4) Program budget and schedule, including milestones			
(5) Program plans and procedures that include the following: (a) Anticipated cost			
(b) Priority			
(c) Resources required			
(6) Records management practices as required by Section 4.7			
(7) Management of change			

NFPA 1600 Program Elements	*Conforming*	*Nonconforming*	*Comments*
4.4.2 The program shall include the requirements specified in Chapters 4 through 9, the scope of which shall be determined through an "all-hazards" approach and the risk assessment.			
4.4.3* Program requirements shall be applicable to preparedness including the planning, implementation, assessment, and maintenance of programs for prevention, mitigation, response, continuity, and recovery.			
4.5 Laws and Authorities. **4.5.1** The program shall comply with applicable legislation, policies, regulatory requirements, and directives.			
4.5.2 The entity shall establish, maintain, and document procedure(s) to comply with applicable legislation, policies, regulatory requirements, and directives.			
4.5.3* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.			
4.6 Finance and Administration. **4.6.1** The entity shall develop finance and administrative procedures to support the program before, during, and after an incident.			
4.6.2* There shall be a responsive finance and administrative framework that does the following: (1) Complies with the entity's program requirements			
(2) Is uniquely linked to response, continuity, and recovery operations			
(3) Provides for maximum flexibility to expeditiously request, receive, manage, and apply funds in a nonemergency environment and in emergency situations to ensure the timely delivery of assistance			
4.6.3 Procedures shall be created and maintained for expediting fiscal decisions in accordance with established authorization levels, accounting principles, governance requirements, and fiscal policy.			
4.6.4 Finance and administrative procedures shall include the following: (1) Responsibilities for program finance authority, including reporting relationships to the program coordinator			
(2)* Program procurement procedures			
(3) Payroll			
(4)* Accounting systems to track and document costs			
(5) Management of funding from external sources			
(6) Crisis management procedures that coordinate authorization levels and appropriate control measures			
(7) Documenting financial expenditures incurred as a result of an incident and for compiling claims for future cost recovery			
(8) Identifying and accessing alternative funding sources			
(9) Managing budgeted and specially appropriated funds			

(Continued)

TABLE B.1 *Continued*

NFPA 1600 Program Elements	Conforming	Nonconforming	Comments
4.7* Records Management. **4.7.1** The entity shall develop, implement, and manage a records management program to ensure that records are available to the entity.			
4.7.2 The program shall include the following: (1) Identification of records (hard copy or electronic) vital to continue the operations of the entity			
(2) Backup of records on a frequency necessary to meet program goals and objectives			
(3) Validation of the integrity of records backup			
(4) Implementation of procedures to store, retrieve, and recover records onsite or offsite			
(5) Protection of records			
(6) Implementation of a record review process			
(7) Procedures coordinating records access			
Chapter 5 Planning **5.1 Planning and Design Process.** **5.1.1*** The program shall follow a planning process that develops strategies, plans, and required capabilities to execute the program.			
5.1.2 Strategic planning shall define the entity's vision, mission, and goals of the program.			
5.1.3 A risk assessment and a business impact analysis (BIA) shall develop information to prepare prevention and mitigation strategies.			
5.1.4 A risk assessment, a BIA, and a resource needs assessment shall develop information to prepare emergency operations/response, crisis communications, continuity, and recovery plans.			
5.1.5* Crisis management planning shall address an event, or series of events that severely impacts or has the potential to severely impact an entity's operations, reputation, market share, ability to do business, or relationships with key stakeholders.			
5.1.6 The entity shall include key stakeholders in the planning process.			
5.2* Risk Assessment. **5.2.1** The entity shall conduct a risk assessment.			
5.2.2 The entity shall identify hazards and monitor those hazards and the likelihood and severity of their occurrence over time.			
5.2.2.1 Hazards to be evaluated shall include the following: (1) Geological: (a) Earthquake			
(b) Landslide, mudslide, subsidence			
(c) Tsunami			
(d) Volcano			

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NFPA 1600 Program Elements	*Conforming*	*Nonconforming*	*Comments*
(2) Meteorological: (a) Drought			
(b) Extreme temperatures (hot, cold)			
(c) Famine			
(d) Flood, flash flood, seiche, tidal surge			
(e) Geomagnetic storm			
(f) Lightning			
(g) Snow, ice, hail, sleet, avalanche			
(h) Wildland fire			
(i) Windstorm, tropical cyclone, hurricane, tornado, water spout, dust storm, sandstorm			
(3) Biological: (a) Food-borne illnesses			
(b)* Infectious/communicable/pandemic diseases			
(4) Accidental human-caused: (a) Building/structure collapse			
(b)* Entrapment			
(c) Explosion/fire			
(d) Fuel/resource shortage			
(e)* Hazardous material spill or release			
(f) Equipment failure			
(g) Nuclear reactor incident			
(h) Radiological incident			
(i)* Transportation incident			
(j) Unavailability of essential employee(s)			
(k)* Water control structure failure			
(l) Misinformation			
(5) Intentional human-caused:			
(a) Incendiary fire			
(b) Bomb threat			
(c) Demonstrations/civil disturbance/riot/insurrection			
(d) Discrimination/harassment			
(e) Disinformation			
(f) Kidnapping/hostage			
(g) Acts of war			
(h) Missing person			

(Continued)

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