

NFPA

1600[®]

**Standard on
Continuity, Emergency,
and Crisis Management**

2019



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NFPA 1600®

Standard on

Continuity, Emergency, and Crisis Management

2019 Edition

This edition of *NFPA 1600, Standard on Continuity, Emergency, and Crisis Management*, was prepared by the Technical Committee on Emergency Management and Business Continuity. It was issued by the Standards Council on November 5, 2018, with an effective date of November 25, 2018, and supersedes all previous editions.

This document has been amended by one or more Tentative Interim Amendments (TIAs) and/or Errata. See "Codes & Standards" at www.nfpa.org for more information.

This edition of *NFPA 1600* was approved as an American National Standard on November 25, 2018.

Origin and Development of *NFPA 1600*

The NFPA Standards Council established the Disaster Management Committee in January 1991. The committee was given the responsibility for developing documents relating to preparedness for, response to, and recovery from disasters resulting from natural, human, and technological causes. The first edition of *NFPA 1600*, titled *Recommended Practice for Disaster Management*, was adopted by the NFPA membership in 1995.

The 2000 edition focused on a "total program approach" for disaster/emergency management and business continuity programs. It added common program elements, techniques, processes, and hazard mitigation while transitioning from a recommended practice to a standard.

Based on contributions from multiple emergency management organizations, including the Federal Emergency Management Agency (FEMA), the National Emergency Management Association (NEMA), and the International Association of Emergency Managers (IAEM), as well as private sector business continuity professionals, the 2004 edition was revised to define the elements of an emergency management and business continuity program. A variety of crosswalks between various other emergency management publications, such as FEMA's *Comprehensive Assessment for Readiness (CAR)*, the Business Continuity Institute's (BCI) *Good Practice Guidelines (GPG)*, and the Disaster Recovery Institute International's (DRII) *Ten Professional Practices*, were added.

The 2007 edition saw the inclusion of prevention, bringing the standard into alignment with the related disciplines and practices of risk management, security, and loss prevention.

The 2010 edition of *NFPA 1600* was revised to follow a program development process consistent with the "plan, do, check, act" continuous improvement process. Chapter 4 incorporated leadership and commitment concepts, including elements such as performance objectives and records management. Chapter 5 was rewritten into four chapters addressing planning, implementation, testing and exercises, and program improvement. Business impact analysis became a separate section while requirements for employee assistance and support, testing and exercising, and evaluations and corrective actions were incorporated throughout various chapters. In addition, Annex C was expanded to include a self-assessment checklist, and Annex D was updated to provide a crosswalk between *NFPA 1600* and elements of a management system program.

Between the 2010 edition and the 2013 edition, *NFPA 1600* received designation and certification as anti-terrorism technology under the U.S. Federal SAFETY Act and became SAFETY Act Certified™.

The 2013 edition continued the reordering of the standard to align with a program development process and the continuous improvement process. Requirements for business continuity and recovery were revised throughout the document, and new requirements for employee assistance and support and maintenance were added.

For the 2016 edition of *NFPA 1600*, the title was changed to *Standard on Disaster/Emergency Management and Business Continuity/Continuity of Operations Programs* to reflect the standard is applicable to public sector continuity planning, commonly referred to as “continuity of operations planning” or “COOP.” The purpose of the standard was changed to reflect the committee’s decision to emphasize that the standard provides fundamental criteria for preparedness through a program that addresses prevention, mitigation, response, continuity, and recovery.

Crisis management planning was revised to include issues that potentially threaten the entity’s operations, reputation, market share, ability to do business, or relationships with key stakeholders. Supply chain vulnerability assessment was added to risk assessment considerations while assessing information loss was added to impact analysis for the 2016 edition. Also, information security was incorporated into continuity planning and multiple sections were rewritten to differentiate “continuity” from “recovery.”

Examples of natural, human-caused, and technological hazards were relocated from Annex A to the requirements for risk assessment. Annex C was added to address small business planning. Also, a definition for persons with access and functional needs was added to support a new Annex J.

The 2019 edition of *NFPA 1600* has placed greater emphasis on crisis management. In addition to emphasizing it in the title, the entity is now required to establish and maintain crisis management capabilities. This includes details regarding assigned responsibilities and processes. The standard also has been reorganized to provide better alignment with the Plan-Do-Check-Act (PDCA) model of continuous improvement. A significant addition to the standard is the new Annex L on data interoperability for emergency management, continuity, and crisis management. It provides criteria by which an organization’s needs and capabilities are assessed so plans can be developed to fill capability gaps. Finally, multiple crosswalks and annexes have been updated based on changes to the main body of the standard.

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Committee Scope: This Committee shall have primary responsibility for documents on preparedness for, response to, and recovery from disasters resulting from natural, human, or technological events.

Contents

Chapter 1 Administration	1600– 5	7.8 Demobilize Resources and Termination.	1600– 12
1.1 Scope.	1600– 5	Chapter 8 Training and Education	1600– 12
1.2 Purpose.	1600– 5	8.1 Curriculum.	1600– 12
1.3 Application.	1600– 5	8.2 Goal of Curriculum.	1600– 12
Chapter 2 Referenced Publications	1600– 5	8.3 Scope and Frequency of Instruction.	1600– 12
2.1 General.	1600– 5	8.4 Incident Management System Training.	1600– 12
2.2 NFPA Publications.	1600– 5	8.5 Record Keeping.	1600– 12
2.3 Other Publications.	1600– 5	8.6 Regulatory and Program Requirements.	1600– 12
2.4 References for Extracts in Mandatory Sections.	1600– 5	8.7 Public Education.	1600– 12
Chapter 3 Definitions	1600– 5	Chapter 9 Exercises and Tests	1600– 12
3.1 General.	1600– 5	9.1 Program Evaluation.	1600– 12
3.2 NFPA Official Definitions.	1600– 5	9.2 Exercise and Test Methodology.	1600– 12
3.3 General Definitions.	1600– 5	9.3 Design of Exercises and Tests.	1600– 12
Chapter 4 Program Management	1600– 6	9.4 Exercise and Test Evaluation.	1600– 13
4.1 Leadership and Commitment.	1600– 6	9.5 Frequency.	1600– 13
4.2 Program Coordinator.	1600– 7	Chapter 10 Program Maintenance and Improvement	1600– 13
4.3 Performance Objectives.	1600– 7	10.1 Program Reviews.	1600– 13
4.4 Program Committee.	1600– 7	10.2 Corrective Action.	1600– 13
4.5 Program Administration.	1600– 7	10.3 Continuous Improvement.	1600– 13
4.6 Laws and Authorities.	1600– 7	Annex A Explanatory Material	1600– 13
4.7 Finance and Administration.	1600– 7	Annex B Self-Assessment for Conformity with NFPA 1600, 2019 Edition	1600– 29
4.8 Records Management.	1600– 7	Annex C Small Business Preparedness Guide	1600– 49
Chapter 5 Planning	1600– 8	Annex D Crosswalk Between NFPA 1600 and DRII Professional Practices, CSA Z1600, and Federal Continuity Directive 1 & 2	1600– 49
5.1 Planning and Design Process.	1600– 8	Annex E NFPA 1600, 2019 Edition, as an MSS	1600– 61
5.2 Risk Assessment.	1600– 8	Annex F Maturity Models	1600– 73
5.3 Business Impact Analysis (BIA).	1600– 9	Annex G APELL	1600– 73
5.4 Resource Needs Assessment.	1600– 9	Annex H Personal and/or Family Preparedness ...	1600– 75
Chapter 6 Implementation	1600– 9	Annex I Access and Functional Needs	1600– 77
6.1 Common Plan Requirements.	1600– 9	Annex J Social Media in Emergency Management	1600– 79
6.2 Prevention.	1600– 9	Annex K Emergency Communications: Public Alerts and Warnings in Disaster Response	1600– 81
6.3 Mitigation.	1600– 9	Annex L Emergency Management, Continuity, and Crisis Management Data Interoperability	1600– 83
6.4 Crisis Management.	1600– 10	Annex M Informational References	1600– 84
6.5 Crisis Communications and Public Information.	1600– 10	Index	1600– 87
6.6 Warning, Notifications, and Communications.	1600– 10		
6.7 Operational Procedures.	1600– 10		
6.8 Incident Management.	1600– 10		
6.9 Emergency Operations/Response Plan.	1600– 11		
6.10 Continuity and Recovery.	1600– 11		
6.11 Employee Assistance and Support.	1600– 11		
Chapter 7 Execution	1600– 12		
7.1 Incident Recognition.	1600– 12		
7.2 Initial Reporting/Notification.	1600– 12		
7.3 Plan Activation and Incident Action Plan.	1600– 12		
7.4 Activate Incident Management System.	1600– 12		
7.5 Ongoing Incident Management and Communications.	1600– 12		
7.6 Documenting Incident Information, Decisions, and Actions.	1600– 12		
7.7 Incident Stabilization.	1600– 12		

NFPA 1600

Standard on

Continuity, Emergency, and Crisis Management

2019 Edition

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Information on referenced publications can be found in Chapter 2 and Annex M.

Chapter 1 Administration

1.1* Scope. This standard shall establish a common set of criteria for all-hazards disaster/crisis/disaster/emergency management and business continuity/continuity of operations programs, hereinafter referred to as “program.”

1.2* Purpose. This standard provides the fundamental criteria for preparedness and resiliency, including the planning, implementation, execution, assessment, and maintenance of programs for prevention, mitigation, response, continuity, and recovery.

1.3* Application. This document shall apply to public, private, and nonprofit and nongovernmental entities.

Chapter 2 Referenced Publications

2.1 General. The documents or portions thereof listed in this chapter are referenced within this standard and shall be considered part of the requirements of this document.

2.2 NFPA Publications. (Reserved)

2.3 Other Publications.

Merriam-Webster’s Collegiate Dictionary, 11th edition, Merriam-Webster, Inc., Springfield, MA, 2003.

2.4 References for Extracts in Mandatory Sections. (Reserved)

Chapter 3 Definitions

3.1 General. The definitions contained in this chapter shall apply to the terms used in this standard. Where terms are not defined in this chapter or within another chapter, they shall be defined using their ordinarily accepted meanings within the context in which they are used. *Merriam-Webster’s Collegiate Dictionary*, 11th edition, shall be the source for the ordinarily accepted meaning.

3.2 NFPA Official Definitions.

3.2.1* Approved. Acceptable to the authority having jurisdiction.

3.2.2* Authority Having Jurisdiction (AHJ). An organization, office, or individual responsible for enforcing the requirements of a code or standard, or for approving equipment, materials, an installation, or a procedure.

3.2.3 Shall. Indicates a mandatory requirement.

3.2.4 Should. Indicates a recommendation or that which is advised but not required.

3.2.5 Standard. An NFPA Standard, the main text of which contains only mandatory provisions using the word “shall” to indicate requirements and that is in a form generally suitable for mandatory reference by another standard or code or for adoption into law. Nonmandatory provisions are not to be considered a part of the requirements of a standard and shall be located in an appendix, annex, footnote, informational note, or other means as permitted in the NFPA Manuals of Style. When used in a generic sense, such as in the phrase “standards development process” or “standards development activities,” the term “standards” includes all NFPA Standards, including Codes, Standards, Recommended Practices, and Guides.

3.3 General Definitions.

3.3.1* Access and Functional Needs. Persons requiring special accommodations because of health, social, economic, or language challenges.

3.3.2 All-Hazards. An approach for prevention, mitigation, preparedness, response, continuity, and recovery that addresses a full range of threats and hazards, including natural, human-caused, and technology-caused.

3.3.3* Business Continuity/Continuity of Operations. An ongoing process to ensure that the necessary steps are taken to identify the impacts of potential losses and maintain viable continuity and recovery strategies and plans.

3.3.4 Business Impact Analysis (BIA). A management level analysis that identifies, quantifies, and qualifies the impacts resulting from interruptions or disruptions of an entity's resources. The analysis can identify time-critical functions, recovery priorities, dependencies, and interdependencies so that recovery time objectives can be established and approved.

3.3.5 Capability. The ability to perform required actions.

3.3.6 Competence. Demonstrated ability to apply knowledge and skills to achieve intended results.

3.3.7 Continual Improvement. Recurring process of enhancing the management program in order to achieve improvements in overall performance consistent with the entity's policy, goals, and objectives.

3.3.8 Continuity. A term that includes business continuity/continuity of operations (COOP), operational continuity, succession planning, continuity of government (COG), which support the resilience of the entity.

3.3.9 Crisis. An issue, event, or series of events with potential for strategic implications that severely impacts or has the potential to severely impact an entity's operations, brand, image, reputation, market share, ability to do business, or relationships with key stakeholders. A crisis might or might not be initiated or triggered by an incident, and requires sustained input at a strategic level to minimize its impact on the entity.

3.3.10 Crisis Management. The ability of an entity to manage incidents that have the potential to cause significant security, financial, strategic, or reputational impacts.

3.3.11 Damage Assessment. A determination of the effects of the incident on humans; on physical, operational, economic characteristics; and on the environment.

3.3.12 Disaster/Emergency Management. An ongoing process to prevent, mitigate, prepare for, respond to, maintain continuity during, and to recover from, an incident that threatens life, property, operations, information, or the environment.

3.3.13 Entity. A governmental agency or jurisdiction, private or public company, partnership, nonprofit organization, or other organization that has crisis/disaster/emergency management and business continuity/continuity of operations responsibilities.

3.3.14* Exercise. A process to assess, train, practice, and improve performance in an entity.

Δ 3.3.15 Incident. An event that has the potential to cause interruption, disruption, loss, emergency, disaster, or catastrophe, and can escalate into a crisis.

3.3.16 Incident Action Plan. A verbal plan, written plan, or combination of both that is updated throughout the incident and reflects the overall incident strategy, tactics, risk management, and member safety requirements approved by the incident commander.

3.3.17* Incident Management System (IMS). The combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure and designed to aid in the management of resources during incidents.

3.3.18 Interoperability. The ability of diverse personnel, systems, and entities to work together seamlessly.

3.3.19* Mitigation. Activities taken to reduce the impacts from hazards.

3.3.20* Mutual Aid/Assistance Agreement. A prearranged agreement between two or more entities to share resources in response to an incident.

3.3.21 Preparedness. Ongoing activities, tasks, and systems to develop, implement, and maintain the program.

3.3.22* Prevention. Activities to avoid or stop an incident from occurring.

3.3.23* Recovery. Activities and programs designed to return conditions to a level that is acceptable to the entity.

N 3.3.24 Resiliency. The ability to prepare for and adapt to changing conditions and withstand and recover rapidly from disruptions.

3.3.25* Resource Management. A system for identifying available resources to enable timely access to resources needed to prevent, mitigate, prepare for, respond to, maintain continuity during, or recover from an incident.

3.3.26* Response. Immediate and ongoing activities, tasks, programs, and systems to manage the effects of an incident that threatens life, property, operations, an entity, or the environment.

3.3.27 Risk Assessment. The process of identifying threats and hazards to life, property, operations, the environment, and entities, and the analysis of probabilities, vulnerabilities, and impacts.

3.3.28 Situation Analysis. The process of collecting, evaluating, and disseminating information related to the incident, including information on the current and forecasted situation and on the status of resources for management of the incident.

N 3.3.29 Social Media. Forms of electronic communication (such as websites) through which people create online communities to share information, ideas, and personal messages.

3.3.30 Supply Chain. A network of individuals, entities, activities, information, resources, and technology involved in creating and delivering a product or service from supplier to end user.

3.3.31 Test. Procedure for evaluation with a pass or fail result.

3.3.32 Vital Records. Information critical to the continued operation or survival of an entity.

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.

N 4.3 Performance Objectives.

N 4.3.1* The entity shall establish performance objectives for the program in accordance with Chapter 4 and the elements in Chapters 5 through 10.

N 4.3.2 The performance objectives shall address the results of the hazard identification, risk assessment, and business impact analysis.

N 4.3.3 Performance objectives shall be developed by the entity to address both short-term and long-term needs.

N 4.3.4 The entity shall define the terms *short term* and *long term*.

4.4 Program Committee.

4.4.1 A program committee shall be established by the entity in accordance with its policy.

Δ 4.4.2 The program committee shall provide input or assist in the coordination of the preparation, development, implementation, evaluation, and maintenance of the program.

Δ 4.4.3 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.

N 4.4.4* The program committee shall solicit applicable external representation.

4.5 Program Administration.

Δ 4.5.1 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 4.6
- (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 4.8
- (7) Management of change

4.5.2 The program shall include the requirements specified in Chapters 4 through 10, the scope of which shall be determined through an "all-hazards" approach and the risk assessment.

4.5.3* Program requirements shall be applicable to preparedness including the planning, implementation, assessment, and maintenance of programs for prevention, mitigation, response, continuity, and recovery.

4.6 Laws and Authorities.

4.6.1* The program shall comply with applicable legislation, policies, regulatory requirements, and directives.

4.6.2 The entity shall establish, maintain, and document procedure(s) to comply with applicable legislation, policies, regulatory requirements, and directives.

4.6.3* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.

4.7 Finance and Administration.

4.7.1 The entity shall develop finance and administrative procedures to support the program before, during, and after an incident.

4.7.2* 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

4.7.3 Procedures shall be created and maintained for expediting fiscal decisions in accordance with established authorization levels, accounting principles, governance requirements, and fiscal policy.

4.7.4 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

4.8* Records Management.

4.8.1 The entity shall develop, implement, and manage a records management program to ensure that records are available to the entity.

4.8.2 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 on-site or off-site
- (5) Protection of records
- (6) Implementation of a record review process
- (7) Procedures coordinating records access