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Devolution of Operations Plan Template

April 2013

[Organization Name]
[Street Address]
[City, State Zip Code]

[Organization Symbol]

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[Organization Name] Devolution of Operations Plan

Foreword

The Foreword introduces the organization's Devolution of Operations Plan and establishes the rationale for creating the Plan. It must include a signature block for the organization head to sign, once approved, to make it a valid plan. Sample text for this section includes:

The [Organization Name] supports the overall [parent organization name] mission by [describe how the organization supports the mission of the parent organization]. To accomplish its mission, [Organization Name] must ensure operations continue, with minimal disruptions to Essential Functions, especially during an emergency.

To support this mission, [Organization Name] must be prepared to continue its Essential Functions during any type of threat or emergency and to effectively resume its mission and Essential Functions if an interruption threatens. This document provides planning and program guidance to ensure the continuation of [Organization Name]'s Essential Functions in the event the [Organization Name] primary operating facility is incapacitated and personnel are unavailable or incapable of activating or deploying to the normal continuity facility.

This Plan has been developed in accordance with guidance in National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*; the National Continuity Policy Implementation Plan; Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*; and other related Directives and guidance.

This Plan is arranged to provide a high-level overview in the front section and the details of Continuity planning in the annexes. Sample text and instructions are provided in *blue italics* and **bold text** inside of brackets. After entering organization-specific information into the body of the template, *delete* italicized instructions and replace applicable information in the bracket instructions (e.g., for FEMA, the instruction [Organization Name] would be replaced with FEMA).

Per FCD 1, the head of all [Organization Name] non-headquarters offices will annually (fiscal year) submit documentation to headquarters certifying that the office has a Continuity Plan and the date of its signature, and that the office participates in an annual exercise that incorporates the deliberate and preplanned movement of Continuity personnel to an alternate site, and the date of the last exercise. [Organization Name] maintains records of this certification and provides this information to Headquarters.

[Organization Head Signature]

[Organization Head Name]

[Organization Head Title]

[Organization Name]

[Signature Date]

Distribution: [Organization distribution and/or information.]

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TABLE OF CONTENTS

TABLE OF CONTENTS	v
CHAPTER 1: INTRODUCTION	1-1
PURPOSE	1-1
PLAN ORGANIZATION.....	1-1
OBJECTIVES	1-2
APPLICABILITY AND SCOPE	1-2
ASSUMPTIONS	1-3
AUTHORITIES	1-3
REFERENCES	1-4
RESPONSIBILITIES.....	1-4
CHAPTER 2: CONCEPT OF OPERATIONS	2-5
DISRUPTION OF OPERATIONS.....	2-5
DEVOLUTION OF OPERATIONS SITES	2-5
DEVOLUTION OF OPERATIONS ACTIVATION CONDITIONS	2-5
Active Measures	2-5
Passive Measures.....	2-6
DEVOLUTION SCENARIOS	2-6
RELATIONSHIP BETWEEN CONTINUITY AND DEVOLUTION OF OPERATIONS.....	2-6
DEVOLUTION OF OPERATIONS THREAT CONDITIONS AND POTENTIAL RESPONSES	2-7
ASSUMPTION OF [ORGANIZATION NAME] ESSENTIAL FUNCTIONS AND MISSION	2-8
ORDERS OF SUCCESSION	2-8
DELEGATIONS OF AUTHORITY.....	2-9
CHAPTER 3: ORGANIZATION AND RESPONSIBILITIES	3-1
RESPONSIBILITIES OF THE [ORGANIZATION NAME] DEVOLUTION WORKING GROUP.....	3-1
[ORGANIZATION NAME] DERG RESPONSIBILITIES	3-1
ORGANIZATION	3-2
CHAPTER 4: DEVOLUTION OF OPERATIONS IMPLEMENTATION.....	4-1
PHASE I: READINESS AND PREPAREDNESS.....	4-2
PHASE II: ACTIVATION AND TRANSFER OF AUTHORITY	4-2
Alert and Notification.....	4-2
Transitioning to the DERG	4-3
PHASE III: DEVOLUTION OPERATIONS.....	4-3
PHASE IV: RECONSTITUTION.....	4-5
CHAPTER 5: SUPPORT REQUIREMENTS	5-1
PERSONNEL COVERAGE PROCEDURES DURING DERG ACTIVATIONS.....	5-1
Procedures for Coverage During Devolution:.....	5-1
ESSENTIAL RECORDS MANAGEMENT	5-1
PRE-POSITIONED INFORMATION	5-2
CONTINUITY COMMUNICATIONS	5-2
TESTS, TRAINING, AND EXERCISE PROGRAM	5-3
SECURITY	5-4
BUDGETING AND ACQUISITION	5-4
HUMAN RESOURCES.....	5-5
Primary Operating Facility Personnel	5-6
All Staff.....	5-6

APPENDIX A: [ORGANIZATION NAME] ESSENTIAL FUNCTIONS	A-1
APPENDIX B: RESOURCE REQUIREMENTS.....	B-1
APPENDIX C: DEVOLUTION OF OPERATIONS SITES.....	C-1
APPENDIX D: DEVOLUTION COUNTERPARTS.....	D-1
APPENDIX E: ACRONYMS.....	E-1
APPENDIX F: DEFINITIONS.....	F-1

CHAPTER 1: INTRODUCTION

The introduction should briefly stress how the organization supports the missions of its parent organization and that a continued Continuity of Operations under any circumstance is needed to ensure there is no disruption in service. Sample text for this section includes:

The **[Organization Name]** supports the overall **[parent organization]** mission by **[describe how organization supports parent organization mission]**. To accomplish its mission, **[Organization Name]** must ensure operations continue efficiently with minimal disruption to Essential Functions, especially during an emergency. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on **[Organization Name]** missions, personnel, and facilities.

Purpose

This section should briefly address the Devolution concept for the organization and its relationship to Continuity of Operations. Sample text for this section includes:

This Devolution of Operations Plan supports overall **[Organization Name]** Continuity of Operations planning and provides procedures, guidance, and organizational structure to ensure the continuation of **[Organization Name]** Essential Functions, listed in Appendix A, in the event that the **[Organization Name]** primary operating facility is incapacitated and personnel are unavailable or incapable of deploying to the **[Continuity Facility Name]**. In this situation, management, leadership responsibility, and Essential Functions will devolve to the designated **[Organization Name]** Devolution of Operations sites in **[location information]**, along with several other satellite and subcomponent offices.

Plan Organization

This section should briefly orient readers to the layout of the Devolution Plan for the organization. Sample text for this section includes:

Chapter 1 outlines the basic policies, definitions, and assumptions that form the framework for the Plan. Chapter 2 introduces concepts relevant to the development and execution of the Devolution of Operations Plan. Chapter 3 assigns responsibilities to the respective **[Organization Name]** offices and divisions tasked with planning and implementing Devolution. Chapter 4 provides an operational overview of Devolution implementation. Chapter 5 addresses specific Devolution of Operations support procedures and requirements.

Appendices A through E expands information discussed in the Plan and may prove useful in understanding new concepts introduced in the body of the Plan. Appendix A contains a list of the Essential Functions of the **[Organization Name]** offices and divisions. Appendix B provides specific information on essential records and Continuity Communications requirements.

Appendix C provides information regarding the Devolution of Operations sites. Appendix D provides a listing of all **[Organization Name]** Devolution Emergency Response Group (DERG) personnel, including headquarters, regional, and subcomponent staff. Appendix E is a listing of acronyms used in this Plan. Annex F contains definitions unique to this plan.

Objectives

This section should include the organization's Devolution Plan objectives in order of priority, if possible. Sample text for this section includes:

The Devolution of Operations Plan addresses a key component of Continuity of Operations planning identified in FCD 1 in the event that Devolution of Operations procedures are necessary. At a minimum, the Plan will meet the following objectives:

- Identify prioritized Essential Functions and determine necessary resources to facilitate their immediate and seamless transfer to a Devolution site;
- Include a roster identifying organization points of contact (POCs) at the designated Devolution site with overall responsibility for the fully equipped and trained personnel who will perform Essential Functions and activities when the Devolution option of Continuity is activated;
- Identify the likely activation protocols (“triggers”) that would initiate or activate the Devolution of Operations Plan;
- Specify how and when direction and control of organization operations will transfer to the Devolution of Operations site(s);
- List necessary resources (people, equipment, and materials) to perform Essential Functions at the Devolution site;
- Establish reliable processes and procedures to acquire necessary resources to continue Essential Functions and sustain operations for extended periods; and
- Establish capabilities to restore or Reconstitute organization authorities to their pre-event status upon termination of Devolution.

Applicability and Scope

This section should identify who and what the Devolution Plan applies to and the staff that should be familiar with the Plan. Sample text for this section includes:

This Plan applies to the functions, operations, and necessary resources to ensure the continuation of **[Organization Name]** Essential Functions if disaster, attack, or catastrophe renders personnel incapable or unavailable to sustain operational capability at the **[Organization Name]** primary operating facility or the **[Continuity Facility]**. This Plan applies to **[names of all organization and subcomponents this Plan applies to]** and counterparts. **[Organization Name]** staff must be familiar with Devolution of Operations policies and procedures and their respective Devolution roles and responsibilities.

Assumptions

This section should briefly orient readers to the layout of the Devolution Plan for the organization. Sample text for this section includes:

This Devolution Plan is based on the following assumptions:

- With (active trigger) or without (passive trigger) warning catastrophic event or condition requires the relocation of **[Organization Name]** management responsibilities and Essential Functions to organizations located **[location, e.g., outside of the National Capital Region]**.
- **[Organization Name]** management responsibilities and Essential Functions cannot be conducted from the primary operating facility or the Continuity facilities.
- **[Organization Name]** personnel are unavailable or incapable of relocation.
- The Deputy Director, **[Organization Name]**, or **[named successor]**, will serve as the Director, Devolution Emergency Response Group.
- The facilities in the Devolution sites are unaffected and have been resourced to incrementally assume the Essential Functions of **[Organization Name]** until a reconstituted **[Organization Name]** can assume such responsibilities.
- Essential Functions at the Devolution sites will temporarily transfer, as required, to a supporting **[Organization Name Office/Region]** until **[Organization Name]** can reconstitute.
- Appropriate delegation provisions are in place to ensure the rapid and efficient transfer of legal and fiscal authority.
- Significant changes to **[Organization Name]**'s statutory authority and/or responsibilities will necessitate a revision of this plan.
- Geographic dispersion has been integrated into **[Organization Name]**'s Headquarters normal daily operations, as appropriate.

Authorities

This section should include the various documents that apply to the organization's mission, Continuity, and Devolution of Operations. Include any documents that formally establish the key programs for your organization. Sample text for this section includes:

- NSPD 51/HSPD 20, *National Continuity Policy*, May 2007.
- National Continuity Policy Implementation Plan, August 2007.
- *The National Security Act of 1947*, 50 U.S.C. 401, as amended.
- *The Homeland Security Act of 2002*, PL 107-296, enacted November 25, 2002.
- *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (42 U.S.C. 5121, et seq.).
- Executive Order 12148, *Federal Emergency Management*, July 20, 1979, as amended.
- *National Response Framework*, January 2008.
- Department of Homeland Security Management Directive 9300.1, *Continuity of Operations Programs and Continuity of Government Functions*.
- **[Add additional authorities.]**

References

This section should include the different regulations that govern the procedures and logistics included in your Plan. Having these references allows readers to cross-reference the guidance documents included in your Plan. Sample text for this section includes:

- Title 44, CFR Part 2, Subpart A – *Organization, Functions, and Delegations of Authority*, October 1, 2005.
- Title 41, CFR 102-74.230 through 74.260, *Occupant Emergency Program*, revised July 1, 2005.
- Title 36, CFR Part 1236, *Management of Vital Records*, revised July 1, 2005.
- **[Organization Name]** *Continuity of Operations Plan*, **[approval date]**.
- **[Continuity Facility Name]** *Site Support Procedures*, **[Organization Name]** Continuity of Operations, **[procedures or manual approval date]**.
- **[Add additional references.]**

Responsibilities

Your organization's Devolution Plan needs to specify some key responsibilities up front regarding planning, plan completion, and plan maintenance. This section should identify the parties who will play a role in one or more of these areas. Sample text for this section includes:

- The **[responsible organization office/division]** has the lead in planning for **[Organization Name]** Devolution of Operations, to include the development of the Plan and procedures that enable Devolution counterpart organizations to assume the mission and Essential Functions of **[Organization Name]**;
- The **[Organization Name]** offices and divisions are responsible for ensuring their Devolution counterparts are trained, equipped, and have access to all essential records, databases, and supporting materials to facilitate the immediate transition of Essential Functions and sensitive responsibilities from the **[Organization Name]** primary operating facility to the Devolution facility;
- **[Appropriate regional/office designation]** holds primary responsibility for identifying, coordinating, and training personnel required to perform devolved Essential Functions. The other **[appropriate regional/office designation]** will support this Plan, as appropriate; and
- **[Appropriate organization office/division]** is responsible for the annual review and update of this Plan.

CHAPTER 2: CONCEPT OF OPERATIONS

Disruption of Operations

This section sets the tone for the chapter and introduces the notion that the Devolution Plan will provide coverage for the organization beyond the coverage the organization's Continuity of Operations Plan. Sample text for this section includes:

A flexible and scalable response is required to address the spectrum of events that could disrupt operations at the **[Organization Name]** primary operating facility. The **[Organization Name]** Devolution of Operations Plan, in conjunction with the **[Organization Name]** Continuity of Operations Plan, ensures such a response capability. While the Continuity Plan addresses a wide variety of potentially disruptive scenarios, the Devolution Plan focuses on catastrophic and/or widespread incidents and events that may occur with or without warning and render our facilities and personnel incapable of or unavailable to perform our Essential Functions. See Appendix A for all **[Organization Name]** Essential Functions.

Devolution of Operations Sites

This section identifies the primary facility or facilities to which the organization will devolve operations during Devolution and sets the requirement for regularly revisiting the personnel, equipment, and resources available at each facility to ensure adequacy. Location information should include city and State or territory only. Appendix C will include full location information for your organization. Sample text for this section includes:

The primary **[Organization Name]** Devolution of Operations sites are located in **[location or locations of your Devolution sites]**. **[Organization Name]** offices and divisions and Devolution of Operations POCs shall annually and after an actual event or a Test, Training and Exercise (TT&E) event, review Devolution personnel, equipment, and resources at each facility to ensure adequacy. See Appendix B for additional information on Devolution resource requirements and Appendix C for additional information on Devolution sites.

Devolution of Operations Activation Conditions

The decision to devolve stems from an incident or potential incident involving the organization's primary operating facility and prevents employees from relocating to an alternate operating facility to perform the organization's Essential Functions. This section identifies the active and passive measures or triggers likely to cause Devolution. Sample text for this section includes:

The **[Organization Name]** Devolution of Operations Plan may activate due to either an active or a passive measure or trigger, depending on the catastrophe.

Active Measures

Active measures or triggers are those that initiate Devolution Plan activation because of a deliberate decision by senior **[Organization Name]** authorities. In this situation, the Director, **[Organization Name]**, or designated successor, activates the Devolution Plan based on an identified threat to **[location]**. The **[primary alerting group name (usually a pre-established operations center)]** at the **[location]** or the **[alternate alerting group name]** in **[location]**

activates the DERG to assume the **[Organization Name]** mission and Essential Functions after receiving instructions from the Director, **[Organization Name]**, or a designated successor.

Passive Measures

Passive measures or triggers for activating the Devolution Plan occur when **[Organization Name]** leadership is not available to initiate activation. For example, when the DERG Director, using all possible communications devices, cannot establish contact with the **[Organization Name]** senior leaders or the **[primary alerting group name]**, or media coverage portrays catastrophic events in and around the **[location of primary operating facility]**, the DERG Director activates the **[Organization Name]** Devolution Plan and assumes the **[Organization Name]** Essential Functions.

Devolution Scenarios

This section should include sample scenarios that would cause the organization to devolve operations, i.e., catastrophic events, widespread natural events, or other events that may cause disruptions to normal operations and prevent organization staff from relocating to an alternate facility. Sample text for this section includes:

The following examples illustrate possible scenarios that could mandate the Devolution of the **[Organization Name]** Essential Functions:

- The **[Organization Name]** primary operating facility and staff is unavailable or incapable of executing the **[Organization Name]** mission as a result of a disaster, attack, or catastrophe (whether or not originating in the **[Organization Name]** building) (e.g., severe snow and ice storm, pandemic influenza, widespread power outages, etc.).
- **[Primary operating facility/metropolitan region]** is incapable of conducting normal business activities as a result of an incapacitation of critical information and communications systems, extreme natural disaster, Weapons of Mass Destruction event, hazardous material incident, or biological event rendering alternate operating facilities unavailable. Under this scenario, there could be uncertainty regarding whether additional events such as secondary explosions, aftershocks, or cascading information systems failures could occur and many, if not all, organizations would have to activate their Devolution programs.

Relationship Between Continuity and Devolution of Operations

This section differentiates between normal Continuity activations and activities and Devolution. It includes wording to explain the concept, planning, and implementation for Continuity of Operations and Devolution of Operations. Sample text for this section includes:

The **[Organization Name]** Continuity Plan and Program and the **[Organization Name]** Devolution of Operations Plan and Program provide mechanisms to ensure that **[Organization Name]** can sustain operational capability across a broad spectrum of emergencies.

The Continuity Plan supports this goal by relocating a portion of the **[Organization Name]** staff to **[Continuity location]**. The Devolution Plan provides for **[Organization Name]**'s ability to sustain operational capability despite the loss or incapacitation of our primary operating staff and facilities. Both plans ensure that **[Organization Name]** can continue to operate following either

an expected or an unexpected disruption, during duty and non-duty hours. Figure 2-1 illustrates the relationship between these two related, but distinct concepts.

Figure 2-1: Relationship Between Continuity and Devolution of Operations

	Continuity Operations	Devolution Operations
PLANNING	Relocate HQ Emergency Relocation Group (ERG) to Continuity site. HQ ERG assumes responsibility for MEFs from Continuity site.	Devolve HQ mission to Devolution site The DERG assumes responsibility for HQ MEFs because HQ personnel are unable to relocate to continuity site.
TRIGGERING EVENT	Change in Continuity of Government Readiness Condition (COGCON) Level or Organization head or successor determines HQ facilities are not viable for mission support. Organization head or successor activates the Continuity Plan accordingly.	Active Trigger: A deliberate decision by senior decision-makers to activate the Devolution Plan; typically based on a threat assessment or incident that incapacitates the facility and or personnel. Passive Trigger: When senior leadership is unavailable to initiate activation and the DERG Director [or equivalent agency position name] learns of a severe/ catastrophic incident occurring at HQ. The DERG Director first tries to establish contact with organization head or successor and coordinates with the [Appropriate agency coordination point] to determine the situation at Headquarters. If unable to establish contact, or upon confirmation that the HQ is unavailable to conduct its Mission Essential Functions (MEFs), the DERG Director will activate the DERG to assume HQ MEFS.
IMPLEMENTATION	Plan Activated. HQ ERG moves to Continuity site and performs HQ MEFs.	Plan Activated. DERG personnel perform MEFs from Devolution Operations facilities.

Devolution of Operations Threat Conditions and Potential Responses

This section associates the National Terrorism Advisory System (NTAS) threat condition levels with operational conditions and possible organization responses, including those that may lead to Devolution. Sample text for this section includes:

Devolution planning provides [**Organization Name**] with a means of ensuring the Continuity of Essential Functions, in the absence of a credible warning and/or the ability to relocate the [**Organization Name**] ERG to one or more Continuity facilities. Table 2-1 illustrates the relationship of Devolution of Operations planning to the threat alerts outlined in NTAS.

The Director, **[Organization Name]**, and the ERG will normally refer to the threat conditions and potential responses identified in the **[Organization Name]** Continuity Plan when assessing an emergency or disruptive situation to determine whether Continuity activation is required. Similarly, the Devolution Director and other DERG members should refer to the threat conditions and potential responses depicted in Table 2-1 when assessing an emergency to determine if the DERG should anticipate an activation of the **[Organization Name]** Devolution Plan.

[Organization Name] has established internal plans and procedures for executing changes based on the NTAS alert regarding *imminent threat* or *elevated threat*. **[Organization Name]** has identified the following activities to undertake for each NTAS threat level.

Table 2-1: National Terrorist Advisory System (NTAS) Alerts and Potential Responses

Threat Alert	Threat Condition Criteria	Organization Potential Response
Imminent Threat Alert	Warns of credible, specific, and impending terrorist threat against the United States.	Activate the [Organization Name] Devolution Plan. Alert [Organization Name] DERG.
Elevated Threat Alert	Warns of credible non-specific terrorist threat against the United States.	The [Organization Name] reviews Devolution Plan and procedures. The [Organization Name] places DERG on alert.

Assumption of [Organization Name] Essential Functions and Mission

This section identifies the need for immediate assumption of the mission and Essential Functions for the organization when the need to devolve operations occurs. In addition, this section provides instructions for any supporting elements following the activation of the Devolution Plan. Sample text for this section includes:

Upon activation of the **[Organization Name]** Devolution Plan, the DERG will immediately assume the **[Organization Name]** mission and Essential Functions. Representatives from other organizations, or designated successors, who normally co-locate with **[Organization Name]** during emergencies to support the National Response Framework **[or other key plans or programs to your organization]**, will co-locate with the DERG at Devolution sites. The DERG will continue to perform the **[Organization Name]** mission and Essential Functions until the primary operating facility is reconstituted and can resume its mission.

Orders of Succession

Orders of Succession require careful planning to ensure leadership sustainability during Devolution. Enter or reference the location of the organization’s Order of Succession information for the Director position in order to officially document the authorities needed to assume the Director position and identify successors who may be called upon to assume that authority. Sample text for this section includes:

Succession to the Position of Director, [Organization Name]: In the event of the death, resignation, or if otherwise unable to perform the functions and duties of the position of Director, [Organization Name], pursuant to the Federal Vacancies Reform Act of 1998, (5 U.S.C. §3345-3349) [or other appropriate guidance document], the President [or other appropriate official, e.g., governor, mayor, etc.] may direct an officer or employee to perform the functions and duties of the vacant Director office temporarily in an acting capacity.

Absent the specific direction of the President [or other appropriate official, e.g. governor, mayor, etc.], no official shall sit as the Acting Director, [Organization Name]. However, in the event of the death, resignation, or if otherwise unable to perform the functions and duties of the position, the Director, [Organization Name], has delegated to the [positions in the Order of Succession] those functions and duties, subject to any conditions or restrictions set forth in the [applicable Delegation of Authority regulation for the organization].

Per NSPD-51/HSPD-20, heads of Category I and II Headquarters organizations must include in their Orders of Succession at least one individual who is geographically dispersed from the organization head and other individuals within the Order of Succession. All organizations should include an individual who is geographically dispersed in all Headquarters and non-Headquarters Orders of Succession, where feasible. As revisions to Orders of Succession occur, [Organization Name] will distribute the revisions promptly to higher organization authorities, potential successors, affected staff, and others as appropriate. [Organization Name] has coordinated the development and revision Orders of Succession with its General or Chief Counsel to ensure legal sufficiency.

In the event of the unavailability of the Director, [Organization Name], the incumbents of the following positions in the sequence indicated in Figure 2-2 will, if available, exercise the functions and duties delegated, as set forth above. Persons appointed on an acting or temporary basis to positions listed in Figure 2-2 below are ineligible to serve. Figure 2-2 illustrates Headquarters and regional succession to the position of Director, [Organization Name].

Figure 2-2: [Organization Name] Order of Succession for Devolution

- Director
- Deputy Director
- Add Name Here
- Add Name here

Delegations of Authority

This section should identify, by position, the legal authority for individuals to make key policy decisions during Devolution, particularly those specific to the Devolution site. The organization's Delegation of Authority should outline explicitly the authority of an official so designated to exercise organization direction. Sample text for this section includes:

Generally, [Organization Name] pre-determined Delegations of Authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined Delegations of Authority are particularly important in a Devolution scenario. [Organization Name] has coordinated the development and revision of Orders of Succession with its General or Chief Counsel to ensure legal sufficiency.

[Organization Name] has identified the following Delegations of Authority:

- Orderly succession of officials to the position of **[Organization Head]** in the case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during an emergency or national security emergency.
- **[Additional Delegations of Authority.]**

[Organization Name] has identified the following Delegations of Authority specific to the Devolution site:

- **[Additional Delegations of Authority.]**

[Organization Name] Delegations of Authorities are found **[location]**.

[Organization Name] has informed those officials who might be expected to assume authorities during a Continuity situation. Documentation that this has occurred is found **[location]**. Further, **[Organization Name]** has trained those officials who might be expected to assume authorities during a Continuity situation at least annually for all pre-delegated authorities for making policy determinations and all levels using **[training methods]**. This training is reflected in the organization's training records located **[location]**.

CHAPTER 3: ORGANIZATION AND RESPONSIBILITIES

This chapter identifies the two groups within that organization that focus on Devolution and the structure necessary to provide a smooth transition of operations from the primary operating facility to Devolution sites. Sample text for this section includes:

The Devolution Working Group (DWG) and the Devolution Emergency Response Group (DERG) are the two groups involved in Devolution planning and. This section identifies and defines the organization and responsibilities of the DERG, and follows the concept that **[Organization Name]** offices and divisions have the primary planning responsibility to create a “partnership” with their Devolution counterparts. This partnership ensures Devolution sites have the requisite personnel, equipment, and facilities to execute Essential Functions.

Responsibilities of the [Organization Name] Devolution Working Group

This section establishes the organization’s DWG. The DWG should meet at least quarterly to identify key issues for the organization regarding devolving operations and propose solutions to resolve these key issues. Sample text for this section includes:

The DWG is a standing committee that will meet on a **[time period]** basis to address coordination issues and support needs for Devolution counterpart organizations. The DWG is comprised of **[Organization Name]** offices, divisions, regional, and subcomponent Devolution POCs who ensure the resources and authorities necessary to carry out the Essential Functions are in place at Devolution sites. The DWG responsibilities include identifying corresponding organizations and individuals for the **[Organization Name]** offices and divisions, furnishing critical equipment and materials necessary for Devolution and evaluating and reporting Devolution counterparts to conduct the **[Organization Name]** mission and Essential Functions.

[Organization Name] DERG Responsibilities

This section establishes the organization’s DERG and includes members identified by each office and division as key members needed to perform the organization mission and Essential Functions during Devolution. This group is not optional and is the base unit of the Devolution Plan at Devolution sites. Sample text for this section includes:

The DERG is comprised of key **[Organization Name]** regional, subcomponent, and available **[Organization Name]** personnel who carry out the **[Organization Name]** mission and Essential Functions at designated Devolution sites in the event of a Devolution. Upon activation, the DERG executes the **[Organization Name]** mission and Essential Functions until **[Organization Name]** can be reconstituted and assume these responsibilities. The offices supporting Devolution designate their DERG members based on these requirements:

- The ability to identify predetermined Essential Functions that must be performed, regardless of the functional status of the **[Organization Name]** building and personnel;
- Knowledge and expertise in performing the Essential Functions; and,
- The understanding that DERG members are precluded from being members of any other emergency team while supporting their DERG responsibilities during Devolution.

Organization

This section formally establishes the need for the organization to transfer their Essential Functions to specific counterparts. The section references where more information on the organization's actual coverage scheme to ensure adequate personnel will be available to assume operations and where key POCs lists are located. Sample text for this section includes:

Specific organizational structures are required to successfully devolve **[Organization Name]** mission and Essential Functions to the Devolution sites. The **[Organization Name]** mission and Essential Functions must transfer to specific counterpart offices to continue the mission of **[Organization Name]**. Refer to Chapter 5 for specific support requirements and Appendix D for a list of the **[Organization Name]** and DERG personnel.

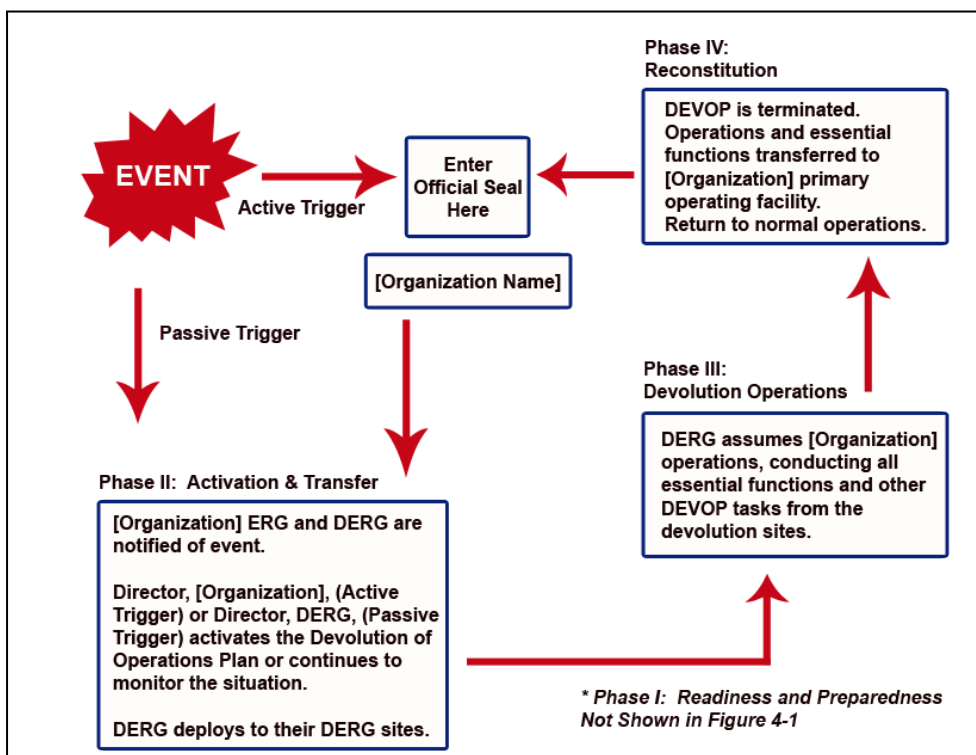
CHAPTER 4: DEVOLUTION OF OPERATIONS IMPLEMENTATION

This chapter focuses on the four stages needed to devolve operations: Readiness and Preparedness, Activation, Devolution of Operations, and Reconstitution. During each phase, the Devolution Plan must identify the procedures, objectives, and logistics needed to effectively devolve organization operations. Once identified, include all information in the Plan or work on plan implementation with organizational offices and their Devolution counterparts. Sample text for this section includes:

The DERG will implement the **[Organization Name]** Devolution of Operations Program in four phases, as illustrated in Figure 4-1:

- Phase I: *Readiness and Preparedness*, includes all Continuity readiness and preparedness actions including plan development, review, and revision, TT&E, risk management, etc.;
- Phase II: *Activation and Transfer of Authority*, which occurs immediately upon confirmation that **[Organization Name]**'s primary operating facility is unavailable or incapable of performing its Essential Functions after either the Director, **[Organization Name]**, or the Devolution Director, activate the Devolution Plan in accordance with the activation triggers;
- Phase III: *Devolution Operations*, which continue until the emergency operations can be terminated; and
- Phase IV: *Reconstitution*, which is conducted after the emergency or disruption ceases and is unlikely to resume.

Figure 4-1: Devolution of Operations Implementation Phases



Each of these phases is presented in more detail in the following sections. Implementation of the **[Organization Name]** Devolution Plan depends on the type of emergency, warning conditions, location of personnel when notified, and extent of damage or threat to the primary operating facility and its occupants.

Phase I: Readiness and Preparedness

Readiness is the ability of an organization to respond to a continuity event. This phase includes all organizational Continuity Readiness and Preparedness activities for Devolution. Sample text for this section includes:

[Organization Name] participates in the full spectrum of Readiness and Preparedness activities to ensure its Devolution Plan is viable. **[Organization Name]** Readiness activities include:

- **[Readiness and Preparedness activities.]**

Phase II: Activation and Transfer of Authority

This section focuses activating and transferring authority to the DERG. It includes actions the DERG will take when activated for an event with prior warning or without any warning. This section also includes a sub-section on transferring responsibilities once the DERG activates. Sample text for this section includes:

Alert and Notification

This phase begins with the activation of the **[Organization Name]** Devolution Plan and the transfer of its mission, authority, responsibility, and Essential Functions to the DERG. This phase ends with the establishment of the mission-capable DERG.

If a catastrophic event is likely to occur, the DERG will take the following actions:

- The Director, **[Organization Name]**, or designated successor, will notify the Devolution Director to activate the Devolution Plan.
- **[Organization's notification chain.]** The Devolution Director will contact the **[primary and/or alternate operations center names]** to initiate the automated emergency notification system. If the main notification system is not operational, the **[alternate operations center name, if applicable]** will notify key **[Organization Name]** Devolution officials who will contact all DERG and non-DERG members. Each division official will notify the **[primary and/or alternate operations center names]** upon completion of the notification process.
- DERG members will immediately report to their Devolution site (during duty and non-duty hours).
- The **[primary and/or alternate operations center names]** will notify FEMA's Continuity Readiness Cell, submit a Devolution Status Report, and will notify **[appropriate notification offices]** that an emergency relocation of **[Organization Name]** is anticipated or is in progress.

If a catastrophic event occurs without warning, the Devolution Director will order the following actions:

- DERG members will immediately report to their Devolution site (during duty and non-duty hours).

- DERG members will perform the **[Organization Name]** mission and Essential Functions.
- The **[primary and/or alternate operations center names]** will notify **[appropriate offices]** that an emergency relocation of **[Organization Name]** is anticipated or is in progress.

Upon activation of the devolution plan, other organizations and stakeholders should be notified of the change in operational control of your organization's MEFs. Sample text for this section includes:

As appropriate, an official spokesperson from the DERG will notify the news media, outside customers, vendors, and other service providers (via pre-recorded message where appropriate), that **[Organization Name]** has temporarily devolved operational control of MEFs to its Devolution site.

Transitioning to the DERG

Immediately following Devolution activation, the DERG will:

- Assume all authority and responsibility for execution of the **[Organization Name]** mission and Essential Functions.
- Execute notification plans.
- The Devolution Director will ensure the **[primary and/or alternate operations center names]** completes notification of all **[Organization Name]** regional offices, other Federal, State, territorial, tribal, or local organizations, and national leadership or **[other notification organizations]** using the pre-established call-down lists.
- Prepare to receive representatives from other Federal or State, territorial, tribal, or local organizations as required.
- **[Additional transition procedures.]**

Phase III: Devolution Operations

This section provides details covering how long the DERG will remain activated and how the Devolution Director will confirm the transfer of authority to each Devolution counterpart. A major portion of this section involves establishing the DERG Initial Status Call and subsequent call, and including the logistics needed to make the call happen. Items for the call include the telephone number, who determines the time of each call, how that decision gets out to the group members, and the recommended script for call participants to follow. Sample text for this section includes:

The DERG will continue to operate as the **[Organization Name]** until the **[Organization Name]** appointed leader or successor takes control and assumes mission authority. All **[Organization Name]** organizations will devolve to **[designated office name or designation]** initially. Responsibility will transfer to each organization's actual Devolution counterparts after the DERG Initial Status Call using **[telephone number for initial status call]**.

The time of the call depends on the time of the decision to devolve the mission and Essential Functions of **[Organization Name]**. Upon activation, the Devolution Director will determine the time of the DERG Initial Status Call based on the ongoing situation and activities and inform

the **[appropriate office]**, who will include the call time, conference telephone number, and PIN in the alert and notification message.

If the normal **[Organization Name]** conference line system is not available, the **[alternate operations center name]** staff in **[alternate operations center location (City and State)]** will activate the back-up system, if applicable. Once done, they will provide the new conference line number and PIN to the Devolution Director. The Devolution Director will determine the time for this call and will include the call time in the notification message from the **[primary and/or alternate operations center names]**.

The DERG Initial Status Call and subsequent DERG Status Calls will cover the following items:

- Roll Call of all participants, by office and division;
- Situation update from the Devolution Director, or designee, to include why **[Organization Name]** devolved and the current situation in **[affected location]**;
- Status report, including operational capability, from each office and division;
- Identifying and addressing any issues requiring follow-up actions; and
- Decision by the Devolution Director, or designee, on the course of action for the day for the DERG, to include determining:
 - The offices and divisions that still have full operational capability within the **[anticipated impacted location]** or at the **[continuity facility name]** and therefore will not devolve their Essential Functions; and
 - The offices and divisions without full operational capability within the **[anticipated impacted location]** or at the **[continuity facility name]** and therefore will devolve their Essential Functions to their Devolution counterpart.
- The Devolution Director, or designee, will announce any specific instructions for the day and the time and date for the next DERG Status Call.

Each office and division will use the following script for delivering their status report during each call:

“Good morning, this is **[speaker name]** with the **[office or division]**. At this time, I have accounted for **[all, some, none, __%]** of my office’s personnel. We **[can, cannot]** perform the mission and Essential Functions of our primary operating facility counterpart and **[are, are not]** prepared to do so.

[If none, skip this section.] I have identified the following limiting factors and issues related to our ability to perform the mission and Essential Functions of our primary operating facility counterpart. They are as follows:

- **[List limiting factors and issues.]**

This concludes the status report for the **[office or division]**. Thank you.”

The Devolution Director will return overall organization responsibility to the **[Organization Name]** offices and divisions once all organizations report full operational capability during a DERG Status Call.

Upon arrival at their Devolution sites, DERG members, available **[Organization Name]** staff, and/or other support staff will:

- Report immediately to their respective Devolution site unless notified otherwise during the activation process. Some members may move into spaces normally used to support other responsibilities, begin to monitor the situation, and prepare the areas for the arrival of the remaining DERG members;
- If activation occurs due to a pandemic influenza or similar scenario, the DERG will activate and respond to the DERG alert in accordance with their Pandemic Influenza Plan or guidance, which may include reporting to an alternate work location or using telework to perform Essential Functions;
- Begin to retrieve pre-positioned information and data and activate specialized systems or equipment;
- Call the assessment call number provided in the DERG notification message at the scheduled time to report the status of their organization’s operational capabilities;
- Monitor and assess the situation that required the Devolution activation;
- Monitor and assess the status of personnel and resources as practicable;
- Continue to perform the **[Organization Name]** mission and Essential Functions;
- Establish and maintain contact with the **[Organization Name]** regional offices, essential field operations, national leadership, and the national security community;
- Prepare and disseminate instructions and reports, as required; and
- **[Other activities.]**

Phase IV: Reconstitution

This section outlines Reconstitution procedures the organization will follow once it devolves operations away from the primary operating facility. Reconstitution planning begins almost immediately after the activation, depending on the nature of the trigger for the activation. This section includes the groups responsible for Reconstitution, possible options for reconstituting operations at your primary operating facility, and who makes the decision to reconstitute. Sample text for this section includes:

Within 24 hours of the DERG’s assumption of the **[Organization Name]** statutory authority and Essential Functions, the following individuals or their Devolution successors shall initiate and coordinate operations to assess, salvage, restore, and recover the **[Organization Name]** primary

operating facility after receiving recommendations and/or approval from the appropriate local and Federal law enforcement and emergency services:

- Director, **[office/division name] (lead organization)**.
- **[Others as appropriate.]**

Reconstitution procedures will commence when the Director, **[Organization Name]**, or designated successor, ascertains that the emergency situation has ended and is unlikely to recur. Once the appropriate **[Organization Name]** representative has made this determination in coordination with other appropriate authorities, one or a combination of the following options may be implemented, depending on the situation:

- Assess damage to primary facility;
- Work with the General Services Administration to repair or obtain new facility;
- Account for personnel;
- Build an interim employee schedule;
- Establish a build out plan;
- Continue to operate from the Devolution sites;
- Prepare for an orderly return to the **[Organization Name]** primary operating facility and reconstitute **[Organization Name]**; and
- Begin to establish a reconstituted **[Organization Name]** in another facility in the **[affected location]** or other designated location.
- The **[primary and/or alternate operations center names]** will notify FEMA's Continuity Readiness Cell, submit a Reconstitution Status Report, and will notify **[appropriate notification offices]** that Reconstitution to normal operations of **[Organization Name]** is anticipated or is in progress.

Once the Director, **[Organization Name]**, or designated successor, decides the **[Organization Name]** staff can reoccupy the **[Organization Name]** primary operating facility or that a different facility will be established as a new operating facility, **[Organization Name]** staff will reestablish **[Organization Name]** following the Reconstitution procedures written in the **[Organization Name]** Continuity Plan.

When reconstituted staff, equipment, and documents are in place at the new or restored **[Organization Name]** primary operating facility, DERG members at Devolution sites will return mission authority and Essential Functions to the reconstituted **[Organization Name]** and resume their previous missions and activities.

CHAPTER 5: SUPPORT REQUIREMENTS

This section contains the primary regional office or other office, as appropriate, staff augmentation assignments to provide additional staff to support the DERG to perform the [Organization Name] mission and Essential Functions during Devolution.

Personnel Coverage Procedures During DERG Activations

During Devolution, the biggest obstacle faced by organizations is identifying enough personnel at the Devolution site to assume the Essential Functions for each office and division. In order to overcome possible staffing deficiencies, this section should outline coverage schemes needed to ensure adequate staffing to perform the organization's mission and Essential Functions.

Coverage schemes should go as deep as necessary to identify enough Devolution personnel to evenly match up with the number of ERG members for the organization team. Coverage needs to account for who will perform the normal operations regional or other offices, as appropriate, as well as who will perform the mission and Essential Functions. Sample text for this section includes:

Procedures for Coverage During Devolution:

- DERG members will immediately report to assigned Devolution site (during duty and non-duty hours).
- During DERG activation, the Devolution Director will determine if and when any remaining [Organization Name] personnel will temporarily relocate to their counterpart's Devolution site. DERG staff will fund travel costs associated with any such relocations using [name of the funding source (e.g., an open surge account)];
- [Primary Devolution region/office identifier] personnel comprise a majority of the DERG and the [primary Devolution region/office] facilities provide the Devolution sites.
- To account for the day-to-day operations once the DERG activates, [back-up region/office] will assist [primary Devolution region/office] as per the [document or coverage guidelines] by assuming operational responsibilities for the [primary Devolution region or other office identifier];
- [Additional region/office coverage procedures and alternate Devolution site plans];
- Following activation and deployment of the DERG, the Devolution Director may request additional personnel from other [Organization Name] offices for augmentation and shift relief at Devolution sites; and
- The Director, [Organization Name], or the Devolution Director and the corresponding office/region Director, or designated successor must agree upon all requests for augmentation of the DERG before deploying any personnel.

Essential Records Management

Sharing essential records and databases between the organization and Devolution counterparts is key to the success of Devolution overall. This section identifies those with responsibilities for overseeing essential records for your organization and references the Essential Records Management Appendix. Sample text for this section includes:

The **[name(s) of the appropriate organization(s) within organization]**, in coordination with the **[name of the appropriate offices within organization]**, provides overall guidance and oversight for the protection of essential records to support the performance of **[Organization Name]** Essential Functions under any emergency or potential emergency. Categories of these types of essential records and databases may include emergency operating records and legal and financial rights records. Each office/division within the organization holds overall responsibility for updating essential records and databases and for sharing all essential records and databases with their devolution counterparts. See Appendix B for the essential records and databases specific to each office and division.

Pre-Positioned Information

This section emphasizes the need to share essential records and databases for the organization with Devolution counterparts. Pre-positioning records is the preferred method of providing counterparts with essential records and databases so that they already have the information in the event operations devolve. Sample text for this section includes:

Without appropriate planning, essential data maintained at the **[Organization Name]** primary operating facility may not be available to DERG members at Devolution sites. The **[Organization Name]** offices and divisions will coordinate with their Devolution counterparts to update all databases and other reference material supporting the **[Organization Name]** mission and Essential Functions. All parties will make these databases and other supporting materials available by either pre-positioning them at Devolution sites or making them available through an automated data backup process.

Continuity Communications

The organization cannot consider essential records and databases as the only supporting materials needed devolve operations. Continuity Communications will ensure the organization can successfully devolve operations and that Devolution counterparts can successfully perform the mission and Essential Functions. This section emphasizes these points and provides the Appendix that contains specific telecommunications and information systems items needed at Devolution sites. Sample text for this section includes:

The **[Organization Name]** offices and divisions must ensure they consider any unique or critical information system requirements and identify all capabilities needed for Devolution counterparts to perform the organization's Essential Functions. If a headquarters component or office requires a system to perform its Essential Functions that system must be available at the Devolution site.

The **[Organization Name]** offices and divisions will fully coordinate all telecommunications and information support requirements with their Devolution counterparts and the **[appropriate office/individual]**. All offices and divisions will maintain and update all necessary files, documents, computer software, and databases required to carry out Essential Functions at Devolution sites.

See Appendix B for Continuity Communications specific to **[Organization Name]** and to each office and division.

Tests, Training, and Exercise Program

This section identifies the various test, training, and exercise (TT&E) activities necessary to keep the organization's Devolution Plan current and correct. These requirements should meet those required by FCD 1. Sample text for this section includes:

The following actions are required to ensure that all personnel are trained annually and are ready and able to execute the Devolution Plan, with annually defined as the Federal fiscal year:

- Annual Devolution briefing to all **[Organization Name]** ERG and DERG personnel involved in Devolution planning by the **[name of responsible office/division]**;
- Annual testing of the **[Organization Name]** active and passive Devolution Plan activation mechanisms;
- Annual testing of the capabilities for protecting essential records and information systems (both classified and unclassified) and for providing access to them from Devolution sites;
- Annual testing of primary and backup infrastructure systems and services, such as power, water, and fuel, at Devolution sites;
- Annual testing and exercising of required physical security capabilities at Devolution sites;
- Quarterly testing of the internal and external interoperability and viability of communications equipment and systems at Devolution sites;
- Annual testing and exercising of the **[Organization Name]** Devolution Plan to address how the organization will identify and conduct its Essential Functions during an increased threat situation or in the aftermath of a catastrophic emergency from Devolution sites;
- At least quarterly updates by each **[Organization Name]** office and division to their Devolution counterpart regarding day-to-day operations, issues, and any changes to Essential Functions, essential records, Orders of Succession, or other Continuity-related items;
- Annual training for DERG members on their respective Devolution responsibilities and the requirements necessary to attain full operational capability;
- Annual briefings for DERG members on **[Organization Name]** Devolution plans that involve using or relocating to Continuity facilities, existing facilities, or other work arrangements, such as telework;
- Annual training for DERG members on all Reconstitution plans and procedures to resume normal operations at the original primary operating facility or replacement primary operating facility;
- Annual training for DERG members on the activation of Continuity plans, including unannounced relocation to alternate sites, to include telework options, and Devolution to Devolution sites;
- Annual training for DERG members on the capabilities of communications and IT systems to be used during a Continuity or Devolution event;
- Annual training for DERG members regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support Essential Functions during a Continuity or Devolution activation;
- Annual training for DERG members on an organization's Devolution option for Continuity to address how each organization will identify and conduct its Essential Functions during an increased threat situation or in the aftermath of a catastrophic emergency;

- Annual training for the organization’s leadership on that organization’s Essential Functions, including training on their Continuity responsibilities;
- Annual training for DERG Staff who are expected to telework during a Devolution activation regarding conducting Essential Functions from a telework site. Training must include accessing and using records, communications, and systems;
- Annual training for DERG personnel designated within the Orders of Succession for organization head or other key positions who assume the authority and responsibility of the organization’s leadership if that leadership is incapacitated or becomes otherwise unavailable during a Devolution activation;
- Annual training for those officials listed within the Delegations of Authority on all pre-delegated authorities for making policy determinations and other decisions at the headquarters, regional, field, and other organizational levels, as appropriate; and
- Periodic briefings to managers about the essential records program and its relationship to their essential records and business needs.

All Devolution preparedness and training activities are documented in writing, including the dates of all TT&E activities and names of participating staff. This documentation is found at **[document name and location]**.

The **[Organization Name]** Corrective Action Program (CAP) supports the Devolution program to assist in documenting, prioritizing, and resourcing Continuity issues identified during Devolution TT&E activities, assessments, and emergency operations. The **[Organization Name]** CAP incorporates evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The **[Organization Name]** CAP is maintained by **[office/title]** and CAP documentation is found at **[location]**.

Security

The organization will most likely have to devolve operations during a tenuous time when security awareness will be in a heightened state. To account for that fact, this section ensures Devolution counterparts know where to find the security requirements needed at each Devolution site to continue the organization’s mission and Essential Functions without disruptions from outside sources threatening the safety and security of DERG members. Sample text for this section includes:

In accordance with the guidance and direction provided by applicable regulations and the **[appropriate organizational individual or office]**, the **[Organization Name]** offices and divisions will provide their counterpart DERG members with detailed information on the unique security requirements associated with the assumption of the **[Organization Name]** Essential Functions.

Budgeting and Acquisition

This section should identify the requirements necessary for the successful implementation and management of an organization’s Devolution program. In addition, the organization must establish and maintain reliable processes and procedures for acquiring the resources necessary to continue Essential Functions and to sustain those operations for extended periods. Sample text for this section includes:

[Organization Name] budgets for and acquires those capabilities essential to Devolution. A copy of the Continuity budget, which identifies funding for Devolution, is found **[location]**. The **[office/title]** is responsible for acquiring resources during a Devolution situation. **[Organization Name]** has established and maintains reliable processes and procedures for acquiring the resources necessary to continue Essential Functions and to sustain those operations for extended periods during a Devolution situation. Those processes and procedures are found **[location]** and maintained by **[office]**.

A list of those resources the organization has identified as necessary to facilitate the immediate and seamless transfer of Essential Functions to the Devolution site and the continued performance of these Essential Functions at the Devolution site is located in Appendix B.

[Organization Name] integrates the Continuity and Devolution budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multiyear strategy and program management plan is found **[location]**.

Human Resources

This section should focus on the organization DERG personnel, Continuity personnel, and all other special categories of employees not designated as DERG or Continuity personnel. This section should concentrate on three areas: DERG personnel, primary operating facility personnel, and all staff. Sample text for this section includes:

DERG Personnel

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important and is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a Devolution event, emergency employees and other special categories of employees will be activated by **[Organization Name]** to perform assigned devolution duties. One of these categories is the DERG members.

In respect to these DERG personnel, **[Organization Name]** has:

- Identified and designated those positions and personnel they judge to be critical to organization operations in a Devolution scenario as DERG members. A roster of these positions (including names, home, work, and cell telephone numbers) is maintained by **[office/title]** and is found in Appendix D. These personnel possess the skill sets necessary to perform Essential Functions and supporting tasks during Devolution.
- Officially informed all DERG personnel of their roles or designations by providing documentation in the form of **[type of documentation]** to ensure that DERG personnel know and accept their roles and responsibilities. Copies of this documentation are maintained by **[office/title]** and are found at **[location]**
- Ensured DERG personnel participate in their organization's continuity TT&E program, as reflected in training records. Training records are maintained by **[office/title]** and are found at **[location]**

- Provided guidance to DERG personnel on individual preparedness measures they should take to ensure response to a devolution event using **[method of providing guidance]**. Copies of this guidance are maintained by **[office/title]** and are found at **[location]**
- If bargaining unit employees are included as DERG members, **[Organization Name]** has ensured that all applicable collective bargaining obligations have been satisfied.

The **[Organization Name]** Continuity program, plans, and procedures incorporate existing organization-specific guidance and direction for Human Resources management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities. The **[office]** has the responsibility for **[Organization Name]** human resources issues. A copy of these policies and guidance is found **[location]**.

The **[Organization Name]** Continuity Coordinator, Continuity Manager, and Devolution Director work closely with the **[appropriate Human Resources office/title]** to resolve Human Resources issues related to a Continuity event. **[Office/title]** serves as the **[Organization Name]** Human Resources liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization's emergency plans.

Primary Operating Facility Personnel

During a Devolution scenario, personnel who work at the primary operating facility, including previously identified Continuity personnel, are unable to perform **[Organization Name]** Essential Functions from the normal Continuity facility. Depending on the situation that activates the Devolution plan, staff at the primary operating facility will need Human Resources guidance, particularly on issues of health and life insurance and leave and work schedules. All personnel at the primary operating facility will need to be accounted for after an incident that requires devolution.

All Staff

It is important that **[Organization Name]** keep all staff, especially individuals not identified as DERG personnel, informed during a Continuity event. **[Organization Name]** has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- **[Organization Name]** employees have received guidance on how to prepare, plan for, and stay informed during an emergency, including developing Family Emergency Plans.
 - **[Details on employee guidance, if applicable.]**
- **[Organization Name]** has implemented a process to contact and account for all staff, including contractors, in the event of an emergency. All staff, including contractors, are expected to know their responsibilities to report their accountability.
 - **[Procedures for contacting and accounting for staff.]**
- **[Organization Name]** employees are expected to remain in contact with **[office/title, such as supervisors]** during any closure situation.
 - **[Procedures to communicate how, and the extent to which, employees are expected to remain in contact with the organization during any closure situation.]**

- **[Organization Name]** ensures all staff is aware of and familiar with Human Resources guidance during an emergency, to include pay, leave, staffing, and other Human Resources flexibilities. **[Organization Name]** uses the following methods to increase awareness:
 - **[Methods, such as utilizing an intranet website or employee orientation briefing.]**

[Organization Name] has developed organization-specific guidance and direction for personnel on Human Resources issues. This guidance is integrated with Human Resources procedures for its facility, geographic region, and the Office of Personnel Management. This guidance is maintained by **[office/title]** and is found at **[location]**. **[Organization Name]** has issued Continuity and Devolution guidance for Human Resources on the following issues:

- Additional Staffing: **[Guidance here or location of guidance.]**
- Work Schedules and Leave: **[Guidance here or location of guidance.]**
- Employee Assistance Program: **[Guidance here or location of guidance.]**
- Special Needs Employees: **[Guidance here or location of guidance.]**
- Telework: **[Guidance here or location of guidance.]**
- Benefits: **[Guidance here or location of guidance.]**
- Premium and Annual Pay Limitations: **[Guidance here or location of guidance.]**
- Labor Union Bargaining Units: **[Guidance here or location of guidance.]**
- **[Additional topics.]**

The **[office/title]** communicates Human Resources guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other Human Resources flexibilities) to managers in an effort to help continue Essential Functions during an emergency. The process for communicating this information is as follows: **[Communication methods and processes.]**

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APPENDIX A: [ORGANIZATION NAME] ESSENTIAL FUNCTIONS

This Appendix lists the organization's Essential Functions. The functions are prioritized within each office and division devolving operations to the DERG. Sample text for this appendix includes:

This Appendix includes the list of the [Organization Name] Essential Functions, prioritized within each office and division, which will devolve to the DERG.

A.1 [Office/Division Name]

Priority	Essential Functions
1	[Essential Functions for this office/division.]
2	[Essential Functions for this office/division.]
3	[Essential Functions for this office/division.]
4	[Essential Functions for this office/division.]
5	[Essential Functions for this office/division.]

A.2 [Office/Division Name]

Priority	Essential Functions
1	[Essential Functions for this office/division.]
2	[Essential Functions for this office/division.]
3	[Essential Functions for this office/division.]
4	[Essential Functions for this office/division.]
5	[Essential Functions for this office/division.]

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APPENDIX B: RESOURCE REQUIREMENTS

This Appendix identifies the resources, equipment, and essential records, files, and databases needed to assume and continue the organization's mission and Essential Functions when the need to devolve operations occurs. Completing the three tables in this Appendix will provide Devolution counterparts with the list of resources needed at each Devolution site to ensure a seamless transfer of operations. POCs have the responsibility of providing their counterparts with all essential records for their organization. Sample text and tables for this appendix includes:

This section identifies the resources, equipment, and essential records, files, and databases needed to assume and continue the mission and Essential Functions for **[Organization Name]** when the need to devolve operations occurs. An essential records plan packet is an electronic or hard copy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation, and is pre-positioned at the devolution facility.

Table 1: Essential Files, Records, and Databases

Office/Division	Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Devolution Facility	Hand Carried to Devolution Facility	Storage Locations
[Office/Division Name]	Essential Records Plan Packet	Electronic & hardcopy	X	N/A	CD or USB, printed hardcopy at devolution site, computer hard drive
[Office/Division Name]	WebCims	Electronic	X	N/A	Computer hard drive
[Office/Division Name]	Electronic Correspondence Tracking	Electronic	X	N/A	Computer hard drive
[Office/Division Name]	WebTA	Electronic	X	N/A	Computer hard drive
[Office/Division Name]	[Organization Name] Continuity Plan	Electronic & hardcopy	X	X	CD or USB & printed hardcopy
[Office/Division Name]	[Office/Division Name] Continuity Implementation Plan	Electronic & hardcopy	X	X	CD or USB & printed hardcopy
[Office/Division Name]	HSIN/Common Operating Picture	Electronic	X	N/A	COOP Server
[Office/Division Name]	44 CFR	Hardcopy	X	N/A	Continuity facility

Office/Division	Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Devolution Facility	Hand Carried to Devolution Facility	Storage Locations
[Office/Division Name]	Continuity Support Team Checklist	Electronic	X	X	Continuity Server
[Office/Division Name]	Continuity Phone Directory	Electronic	X	N/A	Continuity Server
[Office/Division Name]	Continuity Status Reporting Form	Electronic	X	N/A	Continuity Server
[Office/Division Name]	[Organization Name] Continuity Status Report Shell	Electronic	X	N/A	Continuity Server
[Office/Division Name]	HSPD – 1	Electronic	X	N/A	Internet
[Office/Division Name]	HSPD – 5	Electronic	X	N/A	Internet
[Office/Division Name]	HSPD – 7	Electronic	X	N/A	Internet
[Office/Division Name]	SIPRnet/NIPRnet	Electronic	X	N/A	LAN Internet
[Office/Division Name]	JWICS	Electronic	X	N/A	LAN Internet
[Office/Division Name]	HSDN	Electronic	X	N/A	LAN Internet

Table 2: Continuity Communications Employed by all [Organization Name] Offices and Divisions

Voice	Radio	Data
<ul style="list-style-type: none"> • Federal Telephone System • Public Switch Telephone Network • Defense Switched Network • Cellular Phone • [Organization Name] Switched Network 	<ul style="list-style-type: none"> • [Organization Name] National Radio System • Microwave • Satellite 	<ul style="list-style-type: none"> • [Organization Name] Data Network • National Emergency Management Information System • Defense Message System/Automatic Digital Network • Local Area Network/Wide Area Network Connectivity • Homeland Security Information Network/Common Operating Picture • RRS Reporting Requirements

Table 3: Additional Continuity Communications Employed by [Office/Division name]

Office or Division	Voice	Radio	Data	Video
[Office/Division Name]	<ul style="list-style-type: none"> • Homeland Security Information Network • National Interorganization Incident Conference Line • Wireless Priority Service for DERG • Telecommunications Service Priority enrollment 			<ul style="list-style-type: none"> • Commercial Satellite Connectivity

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APPENDIX C: DEVOLUTION OF OPERATIONS SITES

Enter the location, contact, and leadership information for each of the Devolution sites in Appendix C. Include maps that will provide a better idea of where the Devolution site is located. However, avoid providing any classified location information for the sites. Sample text for this Appendix includes:

C.1 Devolution Site Information

[Office Name]

Location:	[Location Description]
Phone numbers:	[Main Switchboard (XXX) XXX-XXXX]
Address:	[Street Address]
	[City, State and Zip Code]
Office Leadership:	[Devolution Director Office name]
	[(XXX) XXX-XXXX]
Facility Managers/	[contact information]
Property Owners:	[(XXX) XXX-XXXX]

Figure C-1: Location of [Organization Name] Devolution Sites

[Add maps and directions to Devolution sites, as applicable and appropriate.]

APPENDIX D: DEVOLUTION COUNTERPARTS

Enter the information for key personnel within each office and division within the organization. For Figure D-1, use positions and titles instead of the actual names to avoid having to make more frequent changes to the Devolution Plan each time key personnel within the organization change. Sample text for this appendix includes:

To enable the efficient transfer of Essential Functions to the Devolution site, each primary operating facility Continuity member has a Devolution counterpart. The corresponding positions are listed in the table below. **[Office/division]** has responsibility for maintaining current names, telephone numbers, and addresses for the roster and updates the roster **[time period]**. A copy of this roster is found **[location]**.

FIGURE D-1: [ORGANIZATION NAME] CONTINUITY COUNTERPARTS

Office/Division	Primary Operating Facility Continuity Personnel Name/Telephone Number	DERG Counterpart Contact Information
[Office/Division]	[Position/(XXX) XXX-XXXX]	[Position/(XXX) XXX-XXXX/Address]
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APPENDIX E: ACRONYMS

Enter all acronyms used in your Devolution plan. Sample text for this appendix includes:

CAP	Corrective Action Program
CFR	Code of Federal Regulations
DERG	Devolution Emergency Response Group
DHS	Department of Homeland Security
DWG	Devolution Working Group
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
HQ	Headquarters
HSPD	Homeland Security Presidential Directive
MEF	Mission Essential Function
NCR	National Capital Region
NEF	National Essential Function
NSPD	National Security Presidential Directive
NTAS	National Terrorism Advisory System
PMEF	Primary Mission Essential Function
POC	Point-of-Contact
RRS	Readiness Reporting System
TT&E	Test, Training, and Exercises

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APPENDIX F: DEFINITIONS

This section should contain a list of key words and phrases used throughout the Devolution Plan and should be clearly defined. Sample text for this section includes:

Terms unique to this Plan and/or the broad understanding of *Continuity of Operations* and *Devolution of Operations* are defined below:

Activation – The implementation of a continuity plan, whether in whole or in part.

All-Hazards – The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

Alternate Sites – Locations, other than the primary facility, used to carry out Essential Functions by relocating ERG members following activation of the Continuity Plan. These sites refer to not only other facilities and locations but also work arrangements such as telework and mobile work concepts.

Business Impact Analysis – A method of identifying the effects of failing to perform a function or requirement.

Business Process Analysis – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, and facilities inherent in the execution of a function or requirement.

Communications – Voice, video, and data capabilities that enable leadership and staff to conduct the organization’s Mission Essential Functions. Robust communications help ensure leadership receive coordinated, integrated policy and operational advice and recommendations and provides the ability for governments and private sector to communicate internally and with other entities (including other Federal organizations, Tribal, State, Territorial, and local governments, and the private sector) as necessary to perform their Essential Functions.

Continuity – An uninterrupted ability to provide services and support while maintaining organizational viability before, during, and after an event.

Continuity Coordinators – Senior accountable Federal Executive Branch official at the assistant secretary or equivalent level representing their organization on the Continuity Advisory Group, ensure continuity capabilities in the organization, and provide recommendations for Continuity policy. Continuity Coordinators are supported primarily by the Continuity Manager and other Continuity planners or coordinators at their subordinate levels throughout the organization.

Continuity Facilities – The term “continuity facilities” is comprehensive, referring to both Continuity and Devolution sites where Essential Functions are continued or resumed during a Continuity event. “Alternate sites” are locations, other than the primary facility, used to carry out Essential Functions by relocating ERG members following activation of the Continuity Plan. “Devolution sites” are locations used to carry out Essential Functions by devolving the Essential Functions to a geographically separated facility and DERG staff following activation of the Devolution Plan. These sites refer to not only other facilities and locations but also work arrangements such as telework and mobile work concepts.

Continuity of Government Readiness Conditions (COGCON) – For the Federal Executive Branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the National Capital Region. The COGCON system establishes, measures, and reports the readiness of Executive Branch Continuity programs, which is independent of other Federal Government readiness systems.

Continuity of Operations – An effort within individual organizations to ensure they can continue to perform their Essential Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity Manager – The senior Continuity Planner who manages day-to-day Continuity programs, represents their organization on the Continuity Advisory Group and working groups, as appropriate, and reports to the Continuity Coordinator on all continuity program activities.

Continuity Personnel – Personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations. Continuity personnel are referred to as ERG members.

Continuity Plan – A plan that details how an individual organization will ensure it can continue to perform its Essential Functions during a wide range of emergencies.

Corrective Action Program – An organized method to document and track improvement actions for a program.

Delegations of Authority – Identification, by position, of the authorities for making policy determinations and decisions at HQ, regional and field levels, and all other organizational locations. Generally, pre-determined Delegations of Authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution – Devolution requires the transition of roles and responsibilities for performance of Essential Functions through pre-authorized Delegations of Authority and responsibility. The authorities are delegated from an organization’s primary operating staff to other employees internal or external to the organization in order to sustain Essential Functions for an extended period. Devolution is a Continuity option instead of, or in conjunction, with relocation in order to ensure the continued performance of Essential Functions.

Devolution Emergency Relocation Group – Personnel stationed at the Devolution site who are identified to conduct Essential Functions.

Devolution Sites – “Devolution sites” are locations used to carry out Essential Functions by devolving the Essential Functions to a geographically separated facility and DERG staff following activation of the Devolution Plan. These sites refer to not only other facilities, but also work arrangements such as telework and mobile work concepts.

Drive-Away Kit – A kit prepared by, and for, an individual who expects to deploy to an alternate site during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment, such as clothing, medications, a laptop, and other necessities.

Emergency Operating Records – Records that support the execution of an organization’s Essential Functions.

Emergency Plan – Also referred to as Occupant Emergency Plan or building closure plan. Common scenarios that would lead to the activation of these plans would be inclement weather, localized power outages, localized telecommunications outages, etc. These types of events are generally short term in nature, do not impact employees ability to telework, and may not require an organization to activate its continuity plan.

Emergency Relocation Group – Staff assigned responsibility to continue Essential Functions from an alternate site in the event that their primary operating facilities are threatened or have been incapacitated by an incident.

Essential Functions – Essential functions are a subset of government functions determined to be critical activities. These Essential Functions are then used to identify supporting tasks and resources that must be included in the organization’s Continuity planning process. In this Devolution Plan, the term “Essential Functions” refers to those functions an organization must continue in a continuity situation, whether the functions are MEFs, PMEFS, or Essential Supporting Activities.

Essential Records – Information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a Continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization’s essential legal and financial functions and vital to the protection of the legal and financial rights of individuals directly affected by that organization’s activities. The term “vital records” refers to a specific sub-set of essential records relating to birth, death, and marriage documents.

Essential Records Plan Packet – An essential records plan packet is an electronic or hard copy compilation of key information, instructions and supporting documentation needed to access essential records in an emergency situation.

Essential Supporting Activities – Critical functions an organization must continue during a Continuity activation but not meeting the threshold for MEFs or PMEFS.

Federal Continuity Directive – A document developed and promulgated by DHS, in coordination with the Continuity Advisory Group and in consultation with the Continuity Policy Coordination Committee, which directs Federal Executive Branch organizations to carry out identified Continuity planning requirements and assessment criteria.

FEMA Operations Center – A DHS entity operating continuously and responsible for monitoring emergency operations and promulgating notification of changes to COGCON status.

Geographic Dispersion – The distribution of personnel, functions, facilities, and other resources in physically different locations from one another.

Government Functions – Government functions are the collective functions of organizations, as defined by the Constitution, statute, regulation, presidential direction or other legal authorities, and the functions of the legislative and judicial branches. These functions are activities conducted to accomplish an organization’s mission and serve its stakeholders.

Headquarters - In this Devolution Plan, the term “headquarters” refers to the central, head offices of operations for organizations identified in NSPD-51/HSPD-20, Annex A.

Interoperability – “Interoperability” has two meanings: (1) The ability of systems, personnel, or organizations to provide services to and accept services from other systems, personnel, or organizations, and to use the services so exchanged so that these organizations can operate together effectively; and, (2) A condition that is realized among electronic communications operating systems or grids and/or among individual electronic communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

Interoperable Communications – Communications that provide the capability to perform Essential Functions, in conjunction with other organizations, under all conditions.

Leadership – Elected senior decision-makers (e.g., the President, Governor) or designated (e.g., Cabinet Secretaries, Chief Executive Officers) to head a branch of Government or other organization. Depending on the organization, directors and managers may also serve to assist in guiding the organization and making decisions.

Memorandum of Agreement/Memorandum of Understanding – Written agreements between organizations that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

Mission Essential Functions – The limited set of organization-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

National Capital Region - The National Capital Region was created pursuant to the National Capital Planning Act of 1952 (40 U.S.C. § 71). The Act defined the NCR as the District of Columbia; Montgomery and Prince George’s Counties of Maryland; Arlington, Fairfax, Loudoun, and Prince William Counties of Virginia; and all cities now or here after existing in Maryland or Virginia within the geographic area bounded by the outer boundaries of the combined area of said counties. The NCR includes the District of Columbia and 11 local jurisdictions in the Maryland and Virginia.

National Continuity Coordinator -- The Assistant to the President for Homeland Security and Counterterrorism is the National Continuity Coordinator and is responsible for coordinating, without exercising directive authority, the development and implementation of Continuity policy for Federal Executive Branch organizations.

National Continuity Policy – It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity and COG programs in order to ensure the preservation of our form of Government under the Constitution and the continuing performance of National Essential Functions under all conditions (NSPD 51/HSPD 20, *National Continuity Policy*).

National Essential Functions – The eight functions are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through Continuity and COG capabilities.

National Terrorism Advisory System (NTAS) – The National Terrorism Advisory System, or NTAS, replaces the color-coded Homeland Security Advisory System (HSAS). This system will more effectively communicate information about terrorist threats by providing timely, detailed information to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

Normal Operations – Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include day to day tasks, planning and execution of tasks.

Occupant Emergency Plan – A short-term, emergency response plan establishing procedures for evacuating buildings or sheltering-in-place to safeguard lives and property. Organizations may refer to this plan as the Emergency Plan or building closure plan. Common scenarios that would lead to the activation of these plans would be inclement weather, fire, localized power outages, and localized telecommunications outages. These types of events are generally short-term in nature.

Orders of Succession – Orders of Succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

Organization Head – The highest-ranking official of the organization, or a successor, or designee who has been selected by that official.

Organizations – Those Federal Executive Branch organizations enumerated in 5 U.S.C. § 101, together with the DHS, independent establishments as defined by 5 U.S.C. § 104(1), Government corporations as defined by 5 U.S.C. § 103(1), and the United States Postal Service. The departments, agencies, commissions, bureaus, boards, and independent organizations are referred to in this document as “organizations.”

Primary Mission Essential Functions – Those organization MEFs, validated by the National Continuity Coordinator, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Primary Operating Facility – The facility in which the organization’s leadership and staff operate on a day-to-day basis.

Reconstitution – The process by which surviving and/or replacement organization personnel resume normal organization operations from the original or replacement primary operating facility.

Rights and Interests Records – Records necessary to protect the legal and financial rights of both the Federal Government and the persons affected by its actions.

Risk Analysis – A systematic examination of the components and characteristics of risk.

Risk Assessment – A product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision-making.

Risk Management – Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.

Telecommuting Locations – Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework – A work flexibility arrangement under which an employee performs the duties and responsibilities of such employee’s position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work.

Tests, Training, and Exercises – Measures to ensure an organization’s Continuity Plan is capable of supporting the continued execution of the organization’s Essential Functions throughout the duration of a continuity event. TT&E activities are designed to familiarize, impart skills, and ensure viability of Continuity Plans.