

# **[Organization Name] Devolution of Operations Plan Template**

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**July 2011**

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[Organization Name] Devolution of Operations Plan

**Foreword**

*The foreword should introduce readers to your devolution of operations plan and establish the Organization's rationale for creating the plan. It must also include a signature block for the director of the Organization so that he/she may sign the plan once approved to make it a valid plan. Sample text for this section includes:*

The [Organization Name] supports the overall [enter parent organization name here] mission by [enter text to describe how your organization supports the mission of the parent organization here]. To accomplish its mission, [Organization Name] must ensure that 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 that 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 (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20, *National Continuity Policy*; the National Continuity Policy Implementation Plan; Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*; and other related Directives and guidance.

[Director signs here] \_\_\_\_\_  
[Enter Director's name here]  
Director  
[Organization Name]

Note: This document has been updated to reflect the change from the color-coded Homeland Security Advisory System (HSAS) to the Department of Homeland Security's National Terrorism Advisory System (NTAS) which was implemented in April 2011.

**Distribution:** [Enter organization distribution category and/or information here]

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## 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 **[enter parent organization name here]** mission by **[enter text to describe how your organization supports the mission of the parent organization here]**. To accomplish its mission, **[Organization Name]** must ensure that 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.

### 1.1 PURPOSE

*The Purpose section should briefly address the devolution of operations 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 in the event that the **[Organization Name]** primary operating facility is incapacitated and personnel are unavailable or incapable of deploying to the **[enter continuity facility name here]**. In this situation, management, leadership responsibility, and essential functions will devolve to the designated **[Organization Name]** devolution of operations sites in **[enter location information here]**, along with several other satellite and subcomponent offices.

### 1.2 PLAN ORGANIZATION

*The plan organization section should briefly orient readers to the layout of the devolution of operations plan for the organization. Sample text for this section includes:*

Chapter 1 of the plan 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, and Chapter 5 addresses specific devolution of operations support procedures and requirements.

The appendices, A through E, serve to amplify or expand upon 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 vital records and continuity communications requirements, and Appendix C provides information regarding the devolution of operations sites. Appendix D provides a listing of all **[Organization Name]** devolution of operations Emergency Response Group (DERG) personnel, including headquarters, regional, and subcomponent staff. Appendix E is an alphabetical listing of the acronyms used in this plan.

### 1.3 OBJECTIVES

*The objectives section should include the objectives of the organization's devolution of operations plan, 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 Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*; dated February 2008, in the event that devolution of operations procedures are necessary. At a minimum, the plan will meet the following objectives:

1. Identify prioritized essential functions and determine necessary resources to facilitate their immediate and seamless transfer to a devolution site;
2. 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;
3. Identify the likely activation protocols (triggers) that would initiate or activate the Devolution of Operations Plan;
4. Specify how and when direction and control of organization operations will transfer to the devolution of operations site(s);
5. List necessary resources (people, equipment, and materials) to perform essential functions at the devolution site;
6. Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for extended periods; and
7. Establish capabilities to restore or reconstitute organization authorities to their pre-event status upon termination of devolution.

### 1.4 APPLICABILITY AND SCOPE

*The applicability and scope section should identify who and what the devolution of operations 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 resources necessary 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 **[enter continuity facility here]**. This plan applies to **[enter the names of all organization and subcomponents this plan applies to here]** and counterparts. **[Organization Name]** staff must be familiar with devolution of operations policies and procedures and their respective devolution of operations roles and responsibilities.



## 1.5 ASSUMPTIONS

*The assumptions section should briefly orient readers to the layout of the devolution of operations plan for the organization. Sample text for this section includes:*

This Devolution of Operations Plan is based on the following assumptions:

1. A without warning catastrophic event or condition requires the relocation of **[Organization Name]** management responsibilities and essential functions to organizations located **[enter location here, e.g. outside of the National Capital Region (NCR)]**.
2. **[Organization Name]** management responsibilities and essential functions cannot be conducted from the primary operating facility or the continuity facilities.
3. **[Organization Name]** personnel are unavailable or incapable of relocation.
4. The Deputy Director, **[Organization Name]**, or **[enter other successor]**, will serve as the Director, Devolution Emergency Response Group.
5. The facilities in the devolution of operations 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.
6. Essential functions at the devolution of operations sites will temporarily transfer, as required, to a supporting **[Organization Name Office/Region]** until **[Organization Name]** can reconstitute.
7. Appropriate delegation provisions are in place to ensure the rapid and efficient transfer of legal and fiscal authority.
8. Significant changes to **[Organization Name]**'s statutory authority and/or responsibilities will necessitate a revision of this plan.

## 1.6 AUTHORITIES

*The authorities section should include the various documents that apply to your organization's mission, continuity of operations, and devolution of operations. Include any documents that formally establish the key programs for your organization. Sample text for this section includes:*

- National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (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, hereafter referred to as *HSA of 2002*.
- *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (42 U.S.C. 5121, et seq.), hereafter referred to as *Stafford Act of 2003*.
- Executive Order 12148, *Federal Emergency Management*, dated 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*.
- **[Enter additional authorities here]**.

## 1.7 REFERENCES

*The references section should include the different regulations that govern the procedures and logistics included in your plan. Having these references will allow readers to cross-reference the guidance documents related to the procedures and logistics included in your plan. Sample text for this section includes:*

- Title 44, Code of Federal Regulations (CFR) Part 2, Subpart A – *Organization, Functions, and Delegations of Authority*, dated October 1, 2005.
- Title 41, CFR 102-74.230 through 74.260, *Occupant Emergency Program*, revised on July 1, 2005.
- Title 36, CFR Part 1236, *Management of Vital Records*, revised on July 1, 2005.
- **[Organization Name]** *Continuity of Operations Plan*, dated **[enter date of approval here]**.
- **[Enter continuity facility name here]** *Site Support Procedures*, **[Organization Name]** Continuity of Operations, dated **[enter the procedures or manual date of approval here]**.
- **[Enter additional references here]**.

## 1.8 RESPONSIBILITIES

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

- The **[enter the responsible office/division within your organization]** has the lead in planning for **[Organization Name]** devolution of operations, to include the development of the plan and procedures that enable the devolution of operations 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 vital 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 new devolution facility;

- [Enter appropriate regional/office designation here] holds primary responsibility for identifying, coordinating, and training personnel required to perform devolved essential functions. The other [enter appropriate regional/office designation] will support this plan, as appropriate; and
- [Enter appropriate office/division within your organization] is responsible for the annual review and update of this plan.

## 1.9 DEFINITIONS

*This section should contain a list of key words and phrases used throughout the devolution of operations plan. Each key word and phrase should be clearly defined. Sample text for this section includes:*

Terms that are unique to this plan and/or the broad understanding of *continuity of operations* and *devolution of operations* are defined below:

- **Continuity of Government (COG):** A coordinated effort within each branch of government (e.g., the Federal Government’s executive branch) to ensure that National Essential Functions (NEFs) continue to be performed during a catastrophic emergency. Note, this term may also be applied to non-Federal governments.
- **Continuity of Operations (COOP):** An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.
- **Devolution Emergency Response Group (DERG):** Regional, subcomponent, and available [Organization Name] staff that assume the responsibility and execution of [Organization Name] primary operating facility essential functions during a devolution of operations activation.
- **Devolution Director:** The successor who succeeds the Director, [Organization Name], and serves as the Devolution Emergency Response Group Director. According to the delegation of authority for the Director, [Organization Name], the successor must be confirmed and not acting.
- **Devolution of Operations:** The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.
- **Devolution of Operations Phases:** The four levels of operations implemented in response to a crisis, attack, or catastrophe that render primary operating facility personnel unavailable to, or incapable of, maintaining essential functions at the primary or alternate locations. The phases are implemented sequentially and include: Readiness and Preparedness, Activation and Relocation, Devolution Operations, and Reconstitution.

- **Devolution of Operations Point-of-Contact (POC):** The designated individual from each [Organization Name] office and division and their corresponding counterparts whose duties involve coordination and implementation of the [Organization Name] Devolution of Operations Plan for his/her respective organization.
- **Devolution of Operations Sites:** The facilities where the Devolution Emergency Response Group conducts the essential functions of [Organization Name] primary operating facility.
- **Emergency Relocation Group (ERG):** Pre-designated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.
- **Essential Functions:** The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: NEFs, PMEFS, and MEFs.
- **Mission Essential Functions (MEFs)** – The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
- **National Essential Functions (NEFs)** – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.
- **National Terrorism Advisory System (NTAS)** –NTAS communicates 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.
- **Primary Mission Essential Functions (PMEFS)** – Those department and agency Mission Essential Functions, validated by the NCC, 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.
- **Weapons of Mass Destruction (WMD):** Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical, and radiological devices, but WMDs can also be high-explosive devices.

## CHAPTER 2: CONCEPT OF OPERATIONS

### 2.1 DISRUPTION OF OPERATIONS

*This section sets the tone for the chapter and introduces the notion that the devolution of operations plan will provide coverage for your organization beyond the coverage your organization's Continuity of Operations Plan provides. 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 of Operations Plan addresses a wide variety of potentially disruptive scenarios, the Devolution of Operations 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).

### 2.2 DEVOLUTION OF OPERATIONS SITES

*This section identifies the primary facility or facilities to which your organization will devolve operations during a devolution of operations and sets the requirement for regularly revisiting the personnel, equipment, and resources available at each facility to ensure adequacy. The 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 **[enter location or locations of your devolution sites here]**. **[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 the devolution of operations 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 the devolution sites.

### 2.3 DEVOLUTION OF OPERATIONS ACTIVATION CONDITIONS

*The decision to devolve operations stems from an incident or potential incident that involves your organization's primary operating facility and prevents your employees from relocating to an alternate operating facility to perform the essential functions of your organization. This section identifies the active and passive measures or triggers likely to cause a devolution of operations. 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.

#### 2.3.1 ACTIVE MEASURES

Active measures or "triggers" are those that initiate Devolution of Operations 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 of Operations Plan based on an identified threat to **[enter location here]**. The **[enter primary alerting group name here (usually a pre-established operations center)]** at the **[enter**

[location here] or the [enter alternate alerting group name here] in [enter location here] activates the DERG to assume the [Organization Name] mission and essential functions after receiving instructions from the Director, [Organization Name], or a designated successor.

### 2.3.2 PASSIVE MEASURES

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

## 2.4 DEVOLUTION SCENARIOS

*This section should include sample scenarios that would cause your organization to devolve operations. The sample scenarios should mention catastrophic events, widespread natural events, and any 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.).
- [Enter primary operating facility metropolitan region here] 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 (WMD) event, hazardous material incident or biological event rendering the all 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 of Operations programs.

## 2.5 RELATIONSHIP BETWEEN CONTINUITY AND DEVOLUTION OF OPERATIONS

*This section differentiates between normal continuity of operations activations and activities and a devolution of operations. It includes wording to explain the concept, planning, and implementation for continuity of operations and a 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 of Operations Plan supports this goal by relocating a portion of the [Organization Name] staff to [enter location here]. The Devolution of Operations 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**

Phase	Continuity of Operations	Devolution of Operations
<b>Concept</b>	Relocate to the continuity facility	Devolve mission to a regional or other office
<b>Planning</b>	The Emergency Relocation Group (ERG) assumes the essential functions from one or more continuity facilities	The Devolution Emergency Response Group (DERG) assumes the essential functions because of the unavailability of the ERG members
<b>Implementation</b>	Personnel move to one or more continuity facilities and perform essential functions	DERG personnel perform essential functions from the Devolution of Operations facilities

**2.6 DEVOLUTION OF OPERATIONS THREAT CONDITIONS AND POTENTIAL RESPONSES**

*This section associates the Department of Homeland Security National Terrorism Advisory System with operational readiness and possible organization responses. Sample text for this section includes:*

Devolution of operations 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]’s Emergency Relocation Group (ERG) to one or more continuity facilities. The Secretary/Director, [Organization Name], will normally refer to the threat conditions and potential responses identified in the [Organization Name] Continuity of Operations Plan when assessing an emergency or disruptive situation to determine whether continuity activation is required. Similarly, the Devolution Director or Successor could refer to the National Terrorism Advisory System (NTAS) threat alert as a resource when assessing an emergency to determine if the DERG should anticipate an activation of the [Organization Name] Devolution of Operations Plan.



**Table 2-1: NTAS Alerts and Potential Responses**

National Terrorist Advisory System Alerts		
Threat Alert	Threat Condition Criteria	Organization Potential Response
<b>Imminent Threat Alert</b>	Warns of credible, specific, and impending terrorist threat against the United States.	<ul style="list-style-type: none"> <li>• Activate the [organization name] COOP Plan</li> <li>• Alert [organization name] Devolution Emergency Response Group</li> </ul>
<b>Elevated Threat Alert</b>	Warns of credible non-specific terrorist threat against the United States.	<ul style="list-style-type: none"> <li>• The [organization name] reviews devolution plans and procedures</li> <li>• The [organization name] places Devolution Emergency Response Group on alert</li> </ul>

**2.7 ASSUMPTION OF [ORGANIZATION NAME] ESSENTIAL FUNCTIONS AND MISSION**

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

Upon activation of the [Organization Name] Devolution of Operations Plan, the DERG will immediately assume the [Organization Name] mission and essential functions. Representatives from other organizations or their 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 the Devolution of Operations 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.

**2.8 ORDERS OF SUCCESSION**

*Orders of succession require careful planning to ensure leadership sustainability during devolution of operations. Enter or reference the location of your order of succession information for the Director position within your organization here so that you have officially documented the authorities needed to assume the Director position and have identified the successors who may be called upon to assume that authority. Sample text for this section includes:*

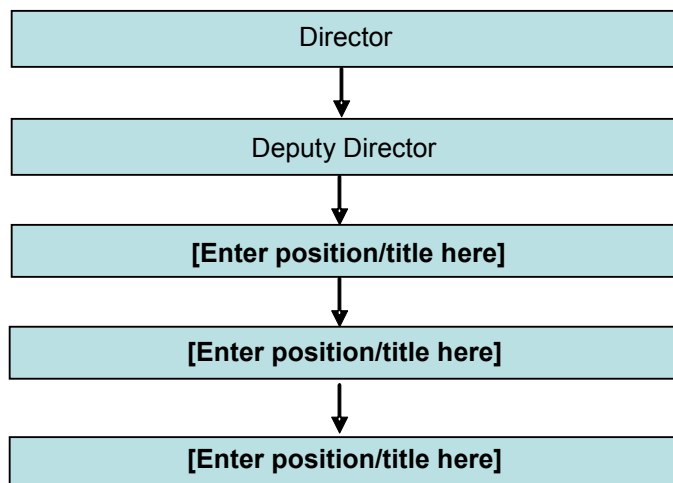
**Succession to the Position of Director, [Organization Name]:** In the event of the death, resignation, or if otherwise unable to perform the functions and duties of the position of Director, [Organization Name], pursuant to the Federal Vacancies Reform Act of 1998, (5 U.S.C. §3345-3349) [or enter other appropriate guidance document here], the President [or enter other appropriate official here; 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 enter other appropriate official here; 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 [enter positions in the order of succession here] those functions and duties, subject to any conditions or restrictions set forth in the [enter applicable delegation of authority regulation for your organization here].

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 basis or on some other temporary basis, to the 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



### 2.9 DELEGATIONS OF AUTHORITY

*This section should identify, by position, the legal authority for individuals to make key policy decisions during a devolution of operations situation, particularly those specific to the devolution site. An agency delegation of authority should outline explicitly in a statement the authority of an official so designated to exercise agency 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 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
- **[Insert additional delegations of authority here]**

**[Organization Name]** has identified the following delegations of authority specific to the devolution site:

- **[Insert additional delegations of authority here]**

**[Organization Name]**'s delegations of authorities are found **[insert 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 **[insert 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 **[insert training methods here]**. This training is reflected in agency training records located **[insert location]**.

## CHAPTER 3: ORGANIZATION AND RESPONSIBILITIES

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

There are two groups involved in devolution planning and execution; the Devolution Working Group (DWG) and the Devolution Emergency Response Group (DERG). 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 of operations counterparts. This partnership ensures the devolution of operations sites have the requisite personnel, equipment, and facilities to execute essential functions.

### 3.1 RESPONSIBILITIES OF THE **[ORGANIZATION NAME]** DEVOLUTION WORKING GROUP

*This section establishes a Devolution Working Group for your organization. The working group members will meet at least annually to identify the key issues for your organization regarding devolving operations and propose solutions to resolve these key issues. Having a Devolution Working Group is optional for each organization, although having one will help all organizations continually improve their devolution programs and plans. Sample text for this section includes:*

The DWG is a standing committee that will meet on a **[enter time period]** basis to address coordination issues and support needs for the Devolution of Operations counterpart organizations. The DWG is comprised of **[Organization Name]** offices, divisions, regional and subcomponent devolution points-of-contact (POCs) who ensure that the resources and authorities necessary to carry out the essential functions are in place at the Devolution of Operations sites. The DWG responsibilities include the identification of corresponding organizations and individuals for the **[Organization Name]** offices and divisions, the furnishing of critical equipment and materials necessary for the devolution of operations, and the evaluation and reporting of the devolution of operations counterparts to conduct the **[Organization Name]** mission and essential functions.

### 3.2 RESPONSIBILITIES OF THE **[ORGANIZATION NAME]** DEVOLUTION EMERGENCY RESPONSE GROUP

*This section establishes the Devolution Emergency Response Group for your organization. This group of individuals will include those members identified by each office and division as key organizational members needed to perform the organization mission and essential functions during a devolution of operations. This group is not optional and will form the base unit of your devolution of operations plan at your 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 the designated Devolution of Operations sites in the event of a devolution of operations situation. 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;
- The understanding that DERG members are precluded from being members of any other emergency team while they are supporting their DERG responsibilities during a devolution of operations situation.

### 3.3 ORGANIZATION

*This section formally establishes the need for your organization organizations to transfer their essential functions to specific counterparts. The section also refers readers to where they can find more information on your actual coverage scheme to ensure adequate personnel will be available to assume operations and where they can find a list of key points-of-contact. Sample text for this section includes:*

Specific organizational structures are required to successfully devolve **[Organization Name]** mission and essential functions to the Devolution of Operations sites. The **[Organization Name]** mission and essential functions must transfer to specific counterpart offices to continue the mission of **[Organization Name]**. Refer to Section Five for specific personnel requirements and office coverage schemes and Appendix D for a list of the **[Organization Name]** and DERG personnel.

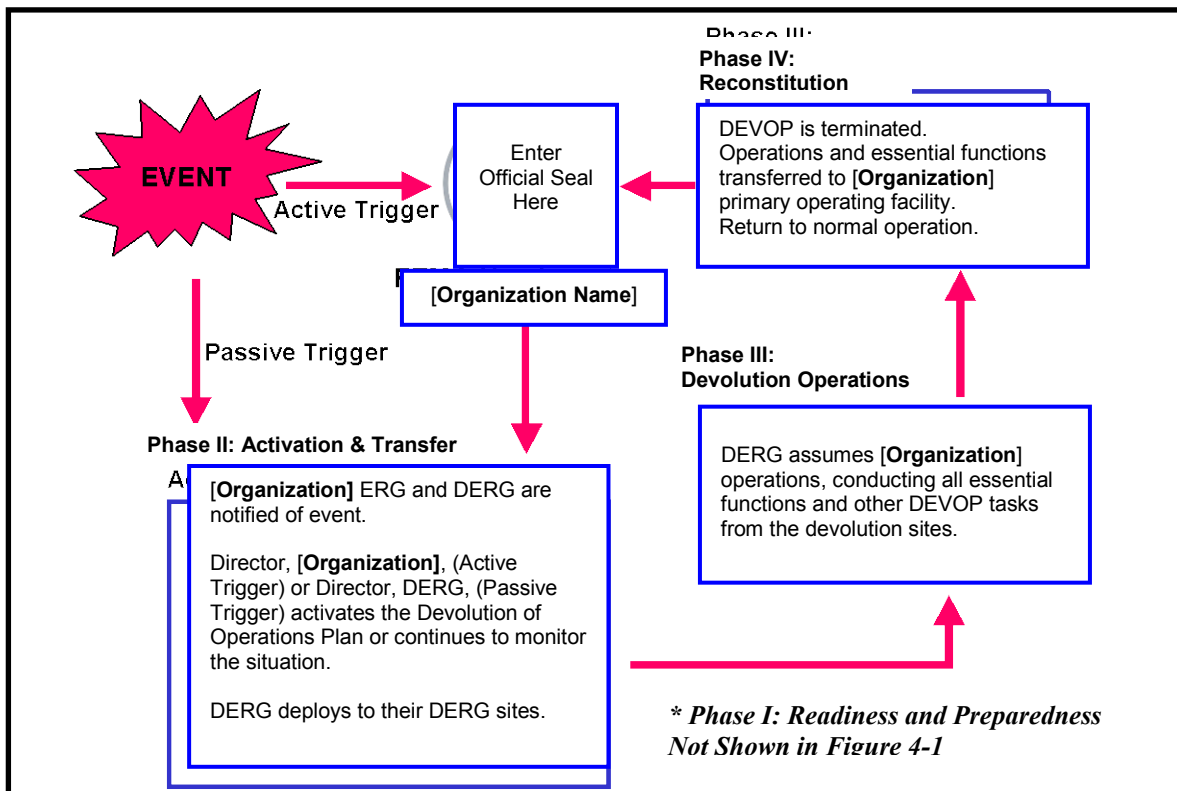
## CHAPTER 4: DEVOLUTION OF OPERATIONS IMPLEMENTATION

*This chapter focuses on the four stages needed to devolve operations. The four sections expand on the stages of readiness and preparedness, activation and relocation, devolution operations, and reconstitution. During each phase, your devolution of operations plan must identify the procedures, objectives, and logistics needed to effectively devolve organization operations. Once identified, your organization can include all information in your plan or work on plan implementation with the offices within your organization 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 of Operations 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 of Operations Plan depends on the type of emergency, the warning conditions, the location of personnel when notified, and the extent of damage or threat to the primary operating facility and its occupants.

#### 4.1 PHASE I: READINESS AND PREPAREDNESS

*Readiness is the ability of an organization to respond to a continuity event. This phase includes all agency 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 of Operations plan is viable. [Organization Name] readiness activities include:

- [Enter readiness and preparedness activities here].

#### 4.2 PHASE II: ACTIVATION AND TRANSFER OF AUTHORITY

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

##### 4.2.1 ALERT AND NOTIFICATION

This phase begins with the activation of the [Organization Name] Devolution of Operations 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 of Operations Plan.
- [Enter your organization's notification chain here]. The Devolution Director will contact the [enter your primary and/or alternate operations center names here] to initiate the automated emergency notification system. If the main notification system is not operational, the [enter your alternate operations center name here, if applicable] will notify key [Organization Name] devolution officials, who will contact all DERG members and non-DERG members. Each division official will notify the [enter your primary and/or alternate operations center names here] upon completion of the notification process.
- DERG members will immediately report to their devolution operating site (during duty and non-duty hours).
- The [enter your primary and/or alternate operations center names here] will notify [enter appropriate notification offices here] that an emergency relocation of [Organization Name] is anticipated or is in progress.

If an unwarned catastrophic event occurs, the Devolution Director will order the following actions:

- DERG members will immediately report to their devolution of operations site (during duty and non-duty hours).
- DERG members will perform the **[Organization Name]** mission and essential functions.
- The **[enter your primary and/or alternate operations center names here]** will notify **[enter appropriate offices here]** that an emergency relocation of **[Organization Name]** is anticipated or is in progress.

As appropriate, news media, outside customers, vendors, and other service providers will be notified by an official spokesperson from the DERG, (via pre-recorded message where appropriate) that **[Organization Name]** has temporarily relocated to its devolution of operations sites.

#### 4.2.2 TRANSITIONING TO THE DEVOLUTION EMERGENCY RESPONSE GROUP

Immediately following a devolution of operations 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 **[enter your primary and/or alternate operations center names here]** completes notification of all **[Organization Name]** regional offices, other Federal or State, territorial, tribal, or local organizations, and national leadership or **[enter other notification organizations here]** using the pre-established call-down lists.
- Prepare to receive representatives from other Federal or State, territorial, tribal, or local organizations as required.
- **[Enter additional transition procedures here].**

#### 4.3 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 included in this section for the call include the telephone number to use, who determines the time of each call and 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]** primary operating facility reconstitutes and reassumes its mission authority. All **[Organization Name]** organizations will devolve to **[Enter designated office name or designation here]** initially. Responsibility will transfer to each organization's actual devolution of operations counterparts after the DERG Initial Status Call using **[enter the number for your initial status call here].**

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 [enter appropriate office here], who will include the time for the call and the conference line number and PIN in the alert and notification message.

If the normal [Organization Name] conference line system is not available, the [enter your alternate operations center name here] staff in [enter your alternate operations center location (City and State) here] 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 [enter your primary and/or alternate operations center names here].

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 [enter affected location here];
- 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 [enter anticipated impacted location here] or at the [enter your continuity facility name here] and therefore will not devolve their essential functions; and
  - The offices and divisions without full operational capability within the [enter anticipated impacted location here] or at the [enter your continuity facility name here] and therefore will devolve their essential functions to their devolution of operations 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 his or her status report during each call: “Good morning, this is [insert speaker name here] with the [insert office or division here]. 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 [insert office or division here]. 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 of operations sites, DERG members, available **[Organization Name]** staff, and/or other support staff will:

- Report immediately to their respective devolution of operations site unless notified otherwise during the activation process. Some members may move into spaces normally used to support other responsibilities and 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 members 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 of operations 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, the national leadership and the national security community;
- Prepare and disseminate instructions and reports, as required; and
- **[Enter other activities here].**

#### 4.4 PHASE IV: RECONSTITUTION

*This section outlines the reconstitution procedures your 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, the 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 of operations 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, **[enter office/division name here]** (lead organization)
- **[Enter 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:

- Continue to operate from the devolution of operations sites;
- Begin an orderly return to the **[Organization Name]** primary operating facility and reconstitute **[Organization Name]**; and
- Begin to establish a reconstituted **[Organization Name]** in some other facility in the **[enter affected location here]** or at another designated location.

Once the Director, **[Organization Name]**, or designated successor decides that 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 of Operations Plan. When the reconstituted staff, equipment, and documents are in place at the new or restored **[Organization Name]** primary operating facility, the DERG members at the devolution of operations sites will return mission authority and essential functions to the reconstituted **[Organization Name]** organizations and resume their previous missions and activities.

## CHAPTER 5: SUPPORT REQUIREMENTS

This section of the plan 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 a devolution of operations situation.

### 5.1 PERSONNEL COVERAGE PROCEDURES DURING DERG ACTIVATIONS

*During a devolution of operations, 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 this possible staffing deficiency, this section should outline the coverage schemes you will put in place to ensure adequate staffing to perform the mission and essential functions of your organization.*

*The coverage schemes should go as deep as necessary to identify enough devolution personnel to evenly match up with the number of ERG members for your organization team. Your coverage scheme needs to account for who will perform the normal operations your regional office or other office, as appropriate, normally performs as well as who will perform the mission and essential functions. Sample text for this section includes:*

#### 5.1.1 PROCEDURES FOR COVERAGE DURING A DEVOLUTION OF OPERATIONS SITUATION:

- DERG members will immediately report to their assigned devolution of operations site (during duty and non-duty hours);
- During the DERG activation, the Devolution Director will determine if and when any remaining [Organization Name] personnel will temporarily relocate to their counterpart's devolution of operations site. DERG staff will fund the travel costs associated with any such relocations using [enter the name of the funding source here (e.g., an open surge account)];
- [Enter primary devolution region/office identifier] personnel comprise a majority of the DERG and the [enter primary devolution region/office here] facilities provide the devolution of operations sites.
- To account for the day-to-day operations once the DERG activates, [enter back-up region/office here] will assist [enter primary devolution region/office here] as per the [enter document or coverage guidelines here] by assuming operational responsibilities for the [enter primary devolution region or other office identifier here];
- [Insert any additional region/office coverage procedures and alternate devolution site plans here];
- 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 the devolution of operations 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.

## 5.2 VITAL RECORDS MANAGEMENT

*Sharing vital records and databases between your organization and your devolution counterparts is key to the overall success of a devolution of operations. This section identifies those with responsibilities for overseeing vital records for your organization. This section also refers readers to the Vital Records Management appendix. Sample text for this section includes:*

The [enter the name(s) of the appropriate organization(s) within your organization here], in coordination with the [enter the name of the appropriate offices within your organization here], provides overall guidance and oversight for the protection of vital records to support the performance of [Organization Name] essential functions under any emergency or potential emergency. Categories of these types of vital 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 vital records and databases and for sharing all vital records and databases with their devolution counterparts. See Appendix B for the vital records and databases specific to each office and division.

## 5.3 PRE-POSITIONED INFORMATION

*This section emphasizes the need to share the vital records and databases for your organization with your devolution counterparts. Pre-positioning records is the preferred method of providing your counterparts with vital records and databases, so that they already have the information in the event your 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 the DERG members at the devolution of operations sites. The [Organization Name] offices and divisions will coordinate with their devolution of operations 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 the devolution of operations sites or making them available through an automated data backup process.

## 5.4 CONTINUITY COMMUNICATIONS

*Your organization cannot consider vital records and databases as the only supporting materials you will need to devolve operations. Continuity communications will ensure your organization can successfully devolve operations and that your counterparts can successfully perform your mission and essential functions. This section emphasizes these points and provides the appendix that contains specific telecommunications and information systems items needed at your devolution site(s). Sample text for this section includes:*

The [Organization Name] offices and divisions must ensure that they consider any unique or critical information system requirements and identify all capabilities needed for their devolution of operations counterparts to perform their essential functions.

The [Organization Name] offices and divisions will fully coordinate all telecommunications and information support requirements with their devolution of operations counterparts and the [enter appropriate office/individual for your organization]. All offices and divisions will maintain and update all necessary files, documents, computer software, and databases required to carry out essential functions at the devolution of operations sites.

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

## 5.5 TESTS, TRAINING, AND EXERCISE PROGRAM

*This section identifies the various test, training, and exercise activities necessary to keep the Devolution of Operations Plan for your organization current and correct. These requirements should meet those required by Federal Continuity Directive 1. Sample text for this section includes:*

The following actions are required to ensure that all personnel are ready and able to execute the Devolution of Operations Plan:

- Annual devolution of operations briefing to all **[Organization Name]** ERG and DERG personnel involved in devolution of operations planning by the **[enter name of office/division with this responsibility]**;
- Annual testing of the **[Organization Name]** active and passive Devolution of Operations Plan activation mechanisms;
- Annual training for the DERG members on their respective devolution of operations responsibilities and the requirements necessary to attain full operational capability;
- Annual testing and exercising of the **[Organization Name]** Devolution of Operations 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 the devolution of operations sites; and
- At least quarterly updates by each **[Organization Name]** office and division to their devolution of operations counterpart regarding day-to-day operations, issues, and any changes to essential functions, vital records, orders of succession, or other continuity-related items.

All devolution of operations 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 **[enter document name and location]**.

The **[Organization Name]** Corrective Action Program (CAP) supports the devolution of operations program to assist in documenting, prioritizing, and resourcing continuity issues identified during devolution of operations 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 **[insert office/title]** and CAP documentation is found at **[insert location]**.

## 5.6 SECURITY

*Your 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 that your devolution counterparts know where to find the security requirements needed at each devolution site to continue the mission and essential functions for your organization without disruptions from outside sources threatening the safety and security of your DERG members. Sample text for this section includes:*

In accordance with the guidance and direction provided by applicable regulations and the **[enter appropriate individual or office for your organization]**, 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.

## 5.7 BUDGETING AND ACQUISITION

*The budgeting and acquisition section should identify the requirements that are necessary for the successful implementation and management of an organization's devolution of operations 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 that are essential to devolution of operations. A copy of the continuity budget, which identifies funding for devolution, is found **[insert location]**. The **[enter office/title here]** 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 of operations situation. Those processes and procedures are found **[enter location]** and maintained by **[insert office]**.

A list of those resources the organization has identified as necessary to facilitate the immediate and seamless transfer of essential functions and 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 of operations 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 **[insert location]**.

## 5.8 HUMAN CAPITAL

*The human capital section should focus on the organization DERG personnel, continuity personnel, and all other special categories of employees who have not been 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:*

### 5.8.1 DERG PERSONNEL

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a devolution of operations 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 is maintained by **[insert office/title]** and is found in Appendix D. These personnel possess the skill sets necessary to perform essential functions and supporting tasks during a devolution of operations.
- Officially informed all DERG personnel of their roles or designations by providing documentation in the form of **[insert type of documentation here]** to ensure that DERG personnel know and accept their roles and responsibilities. Copies of this documentation are maintained by **[insert office/title]** and are found at **[insert location]**
- Ensured DERG personnel participate in their organization's continuity TT&E program, as reflected in training records. Training records are maintained by **[insert office/title]** and are found at **[insert location]**
- Provided guidance to DERG personnel on individual preparedness measures they should take to ensure response to a devolution event using **[insert methods of providing guidance here]**. Copies of this guidance are maintained by **[insert office/title]** and are found at **[insert location]**

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

The **[Organization Name]** Continuity Coordinator, Continuity Manager, and Devolution Director work closely with the **[insert appropriate human capital office/title here]** to resolve human capital issues related to a continuity event. **[Insert office/title]** serves as the **[Organization Name]** human capital liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency's emergency plans.

### 5.8.2 PRIMARY OPERATING FACILITY PERSONNEL

During a devolution of operations 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 of operations plan, staff at the primary operating facility will need human capital guidance, particularly on issues of health and life insurance and leave and work schedules.



### 5.8.3 ALL STAFF

It is important that **[Organization Name]** keep all organization 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 are expected to remain in contact with **[insert office/title, such as supervisors]** during any closure situation.
  - **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure situation]**
- **[Organization Name]** ensures staff is aware of and familiar with human capital guidance in order to continue essential functions during an emergency. **[Organization Name]** uses the following methods to increase awareness:
  - **[Insert methods here, such as utilizing an intranet website or employee orientation briefing].**

**[Organization Name]** has developed agency-specific guidance and direction for personnel on human-capital issues. This guidance is integrated with human capital procedures for its facility, geographic region, and the Office of Personnel Management (OPM). This guidance is maintained by **[insert office/title]** and is found at **[insert location]**. **[Organization Name]** has issued continuity and devolution guidance for human capital on the following issues:

- Additional Staffing: **[Insert guidance here or location of guidance]**
- Work Schedules and Leave: **[Insert guidance here or location of guidance]**
- Employee Assistance Program: **[Insert guidance here or location of guidance]**
- Special Needs Employees: **[Insert guidance here or location of guidance]**
- Telework: **[Insert guidance here or location of guidance]**
- Benefits: **[Insert guidance here or location of guidance]**
- Premium and Annual Pay Limitations: **[Insert guidance here or location of guidance]**
- **[Insert additional topics here]**

Further, **[insert office/title]** communicates human capital 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: **[Insert communication methods and processes here]**.



## APPENDIX A: [ORGANIZATION NAME] ESSENTIAL FUNCTIONS

*This appendix lists the essential functions of the organization. The functions are prioritized within each office and division that will devolve operations to the Devolution Emergency Response Group. 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 Devolution Emergency Response Group.

### A.1 [Office/Division Name]

Priority	Essential Functions
1	[Enter the essential functions for this office/division here]
2	
3	
4	
5	

### A.2 [Office/Division Name]

Priority	Essential Functions
1	[Enter the essential functions for this office/division here]
2	
3	
4	
5	

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## APPENDIX B: RESOURCE REQUIREMENTS

*This appendix identifies the resources, equipment, and vital records, files, and databases needed to assume and continue the mission and essential functions for your organization when the need to devolve operations occurs. Completing the three tables in this appendix will provide your devolution of operations counterparts with the list of resources they will need at each devolution site to ensure a seamless transfer of operations. Points-of-contact have the responsibility of providing their counterparts with all vital records for their organization. Sample text and tables for this appendix includes:*

This section identifies the resources, equipment, and vital records, files, and databases needed to assume and continue the mission and essential functions for [Organization Name] when the need to devolve operations occurs.

**Table 1: Vital Files, Records, and Databases**

[Office or Division] Counterpart	Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Devolution Facility	Hand Carried to Devolution Facility	Storage Location(s)
<b>[Office/ Division Name]</b>	WebCims	Electronic	X	N/A	Computer hard drive
	Electronic Correspondence Tracking (ECT)	Electronic	X	N/A	Computer hard drive
	Connection to NEMIS	Electronic	X	N/A	Computer hard drive
	WebTA	Electronic	X	N/A	Computer hard drive
	[Organization Name] Continuity Plan	Electronic & hardcopy	X	X	Computer diskette & printed hardcopy
	[Office/Division Name] Continuity Implementation Plan	Electronic & hardcopy	X	X	Computer diskette & printed hardcopy
	HSIN/Common Operating Picture (COP)	Electronic	X	N/A	COOP Server
	Stafford Act	Hardcopy	X	N/A	Continuity facility
	44 CFR	Hardcopy	X	N/A	Continuity facility

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

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

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

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

<b>Office or Division</b>	<b>Voice</b>	<b>Radio</b>	<b>Data</b>	<b>Video</b>
<b>[Office/Division Name]</b>	<ul style="list-style-type: none"><li>• Homeland Security Information Network (HSIN)</li><li>• National Interorganization Incident Conference Line</li></ul>			<ul style="list-style-type: none"><li>• Commercial Satellite Connectivity</li></ul>

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## APPENDIX C: DEVOLUTION OF OPERATIONS SITES

*Enter the location, contact, and leadership information for each of your devolution sites in Appendix C. Include maps that will give readers a better idea of where your devolution site is located. However, be sure to avoid providing any classified location information for your sites. Sample text for this appendix includes:*

**[Enter office name here]**

Location:

**[Enter location description here]**

Phone numbers:

**[Enter main switchboard phone numbers here]**

Address:

**[Enter street address here]**

**[Enter City, State and Zip Code here]**

Office Leadership:

**[Enter Devolution Director office name here]**

**[Enter phone numbers here]**

**FIGURE C-1: LOCATION OF [ORGANIZATION NAME] DEVOLUTION OF OPERATIONS SITE(S)**

**[Enter map(s) of and directions to your devolution of operations site(s) here, as applicable and appropriate]**

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## APPENDIX D: DEVOLUTION COUNTERPARTS

*Enter the information for your key personnel within each office and division within your organization. For Figure D-1, always use positions and titles instead of the actual names of individuals to avoid having to make more frequent changes to your plan each time key personnel within your 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. **[Enter office/division]** has responsibility for maintaining current names, telephone numbers, and addresses for the roster and updates the roster **[enter time period]**. A copy of this roster is found **[insert location]**.

**FIGURE D-1: [ORGANIZATION NAME] CONTINUITY COUNTERPARTS**

Office/Division	Primary Operating Facility Continuity Personnel Name and Telephone Number	Devolution Emergency Response Group Counterpart Contact Information
[Office/Division Name]	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]
	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]
[Office/Division Name]	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]

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## APPENDIX E: ACRONYMS

*Enter all acronyms used in your devolution of operations plan. Ensure you include all acronyms, so that readers will not get confused trying to decipher acronyms not defined in this section, which could lead to a misunderstanding of your organization's plan. Sample text for this appendix includes:*

CAP	Corrective Action Program
CFR	Code of Federal Regulations
COG	Continuity of Government
COOP	Continuity of Operations
COP	Common Operating Picture
DERG	Devolution Emergency Response Group
DHS	Department of Homeland Security
DWG	Devolution Working Group
EO	Executive Order
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
HQ	Headquarters
HSIN	Homeland Security Information Network
HSPD	Homeland Security Presidential Directive
MEF	Mission Essential Function
NCR	National Capital Region
NEF	National Essential Function
NOC	National Operations Center
NSPD	National Security Presidential Directive
NTAS	National Terrorism Advisory System
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
POC	Point-of-Contact
TT&E	Test, Training, and Exercises
WMD	Weapons of Mass Destruction