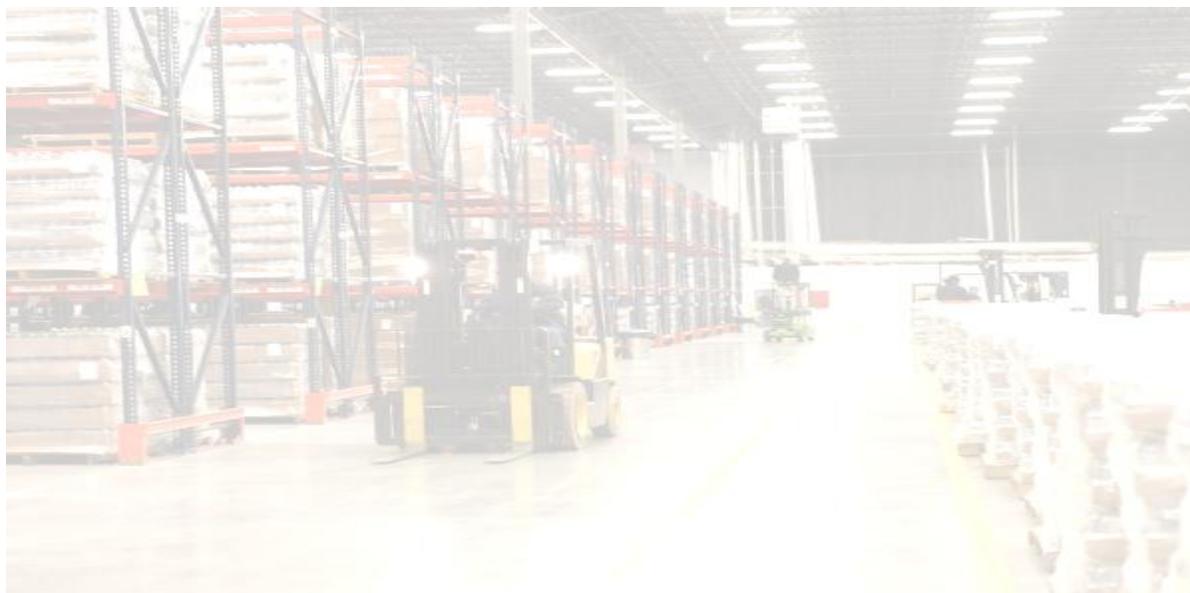


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## **Department of Readiness**

### **Continuity Plan**

**October 2012**

**DOR is not a real department and the continuity facility, the Phillip Gordon Coriander Complex, is not a real location. This plan is for training purposes only; it is not meant to serve as a template or example of a continuity plan.**

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# Department of Readiness Continuity Plan

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## Foreword

The Department of Readiness (DOR) supports the mission to prepare for all hazards. To accomplish this mission, DOR must ensure it performs its operations efficiently with minimal disruption of essential operations, especially during an emergency. This document provides planning and program guidance for developing, implementing, and maintaining the DOR Continuity Plan and program to ensure that DOR is capable of conducting its essential functions and operations under all threats and conditions.

This Continuity Plan provides policy, responsibilities, procedures, and planning guidance to ensure that DOR can continue to provide essential support under all conditions. Any perceived or actual threat that could render the DOR building unusable for normal operations may trigger activation of this plan.

**DOR is not a real department and the continuity facility, the Phillip Gordon Coriander Complex, is not a real location. This plan is for training purposes only; it is not meant to serve as a template or example of a continuity plan.**

*Alfred G. Putname*

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Dr. Alfred G. Putname  
Director  
Department of Readiness

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## **CHAPTER 1 - INTRODUCTION**

The mission of the Department of Readiness (DOR) is to and ensure the government is able to work to prepare for all hazards.

### **1.1 PURPOSE**

The DOR Continuity Plan provides planning and program direction and guidance for implementing DOR continuity plans and programs. The goal is to ensure DOR is capable of conducting its essential missions and functions under all threats and conditions.

### **1.2 APPLICABILITY AND SCOPE**

DOR developed and implemented its continuity program to ensure DOR can continue to perform its essential functions in any emergency. In particular, this Plan ensures DOR can continue to serve in the event the DOR building becomes inaccessible or uninhabitable. This Continuity Plan identifies the essential functions, the continuity facility, and establishes the DOR Emergency Relocation Group (ERG). This Plan applies to all DOR personnel. Its scope includes the functions, operations, and resources necessary to ensure continuation of DOR essential functions in the event that an emergency threatens or disrupts normal DOR operations.

### **1.3 PLANNING ASSUMPTIONS**

This plan is based on the following assumptions:

- An emergency condition may require activation of the Plan either with or without warning.
- ERG staff will report to the continuity facility within 12 hours from when the DOR Director or successors direct activation of the Plan.
- The continuity facility will support all ERG members and the continuation of essential functions for up to 30 days or until DOR resumes normal operations.
- The emergency will not affect other DOR offices outside the region and they will remain available to support the DOR Director-directed actions.
- If DOR ERG deployment is not feasible due to personnel loss, DOR leadership and responsibilities will devolve to a designated office based on the DOR Devolution of Operations Plan.

## **1.4 OBJECTIVES**

DOR continuity planning objectives are listed in Figure 1-1.

**Figure 1-1: Continuity of Operations Planning Objectives**

<b>Objectives</b>
<ul style="list-style-type: none"><li>• Ensure DOR can perform its essential functions under all conditions</li><li>• Execute a successful order of succession, accompanied by the appropriate position-related authorities, in the event a disruption renders DOR leadership unable to assume and perform their authorities and responsibilities</li><li>• Reduce or mitigate disruptions to DOR operations</li><li>• Ensure DOR has backup facilities where it can continue to perform its essential functions, as appropriate, during a continuity event</li><li>• Protect essential facilities, equipment, records, and other assets, in the event of a disruption</li><li>• Achieve timely and orderly recovery and reconstitution of DOR from an emergency</li><li>• Validate continuity readiness and ensure operational capability through a dynamic and integrated continuity test, training, and exercise program</li></ul>

## **1.5 SECURITY AND PRIVACY STATEMENT**

The disclosure of information in this Plan could compromise the security of essential DOR equipment, services, and systems or otherwise impair DOR's ability to perform essential functions. In order to ensure the plan can be successfully implemented, distribution of this Plan in its entirety is limited to those persons who need to know the information.

The DOR Planning Division will distribute copies of this Plan to individuals as required. Further distribution of the Plan, in hardcopy or electronic form, is not permitted without approval from the DOR Director.

## **1.6 PLAN DEVELOPMENT AND MAINTENANCE**

As part of the annual continuity plans and procedures maintenance, DOR Planning Division will review and update the DOR Continuity Plan, essential functions, and supporting activities annually starting the first week of January. Divisions may provide comments or suggestions for improving this Plan at any time.

**CHAPTER 2 - CONCEPT OF OPERATIONS**

**2.1 PHASE I: READINESS AND PREPAREDNESS**

The DOR Continuity Plan ensures a robust continuity capability. DOR participates in the full spectrum of readiness and preparedness activities to ensure Department personnel can continue performing essential functions in an all-hazard risk environment.

DOR personnel must prepare and be ready to implement DOR continuity plans and procedures with or without warning. Continuity preparedness activities include:

1. Reviewing the DOR Continuity Plan;
2. Familiarity and understanding of continuity responsibilities;
3. Updating required personal information updated in the call down roster;
4. Maintaining vital files, records, and databases in individual continuity division folders.
5. Developing a Family Support Plan to increase personal and family preparedness. A template is available at [www.ready.gov](http://www.ready.gov); and
6. Creating and maintaining drive-away kits. Suggested drive-away kit contents are listed in Table 2-1.

**Table 2-1: Drive Away Kit**

<b>Drive Away Kit</b>	
<ul style="list-style-type: none"><li>• Identification and credit cards<ul style="list-style-type: none"><li>o Government identification card</li><li>o Drivers license</li><li>o Government travel card</li><li>o Health insurance card</li><li>o Personal credit card</li></ul></li><li>• Communication equipment<ul style="list-style-type: none"><li>o Pager/BlackBerry</li><li>o Government/personal cell phone</li><li>o Government Emergency Telephone Service card</li></ul></li><li>• Hand-carried vital records</li><li>• Directions to continuity facility</li><li>• Business and leisure clothing</li></ul>	<ul style="list-style-type: none"><li>• Continuity Plan</li><li>• Business and personal contact numbers<ul style="list-style-type: none"><li>o Emergency phone numbers and addresses</li></ul></li><li>• Toiletries</li><li>• Bottled water and non-perishable food</li><li>• Medical needs<ul style="list-style-type: none"><li>o Insurance information</li><li>o List of allergies/blood type</li><li>o Hearing aids and extra batteries</li><li>o Glasses and contact lenses</li><li>o Extra pair of eyeglasses/contact lenses</li><li>o Prescription drugs (30-day supply)</li></ul></li><li>• Over-the-counter medications, dietary supplements</li></ul>

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- A. Identification of Continuity Personnel: Key DOR personnel who relocate under this plan are collectively known as the ERG. DOR expects ERG members to comply with alert/notification instructions during continuity operations.
1. DOR must identify who will perform essential functions during Continuity Plan activation. Each ERG member is selected based on:
    - a. The predetermined essential functions that DOR must perform, regardless of the operational status of the DOR primary operating facility;
    - b. The member's knowledge and expertise in performing these essential functions; and
    - c. The member's ability to deploy to the continuity facility in an emergency.
  2. To track the staff the DOR needs for DOR Continuity Plan activation, DOR will:
    - a. Maintain an ERG roster that includes all primary and alternate ERG members needed to perform the essential functions; and
    - b. Update its DOR ERG roster monthly.

### **2.2 PHASE II: ACTIVATION AND RELOCATION**

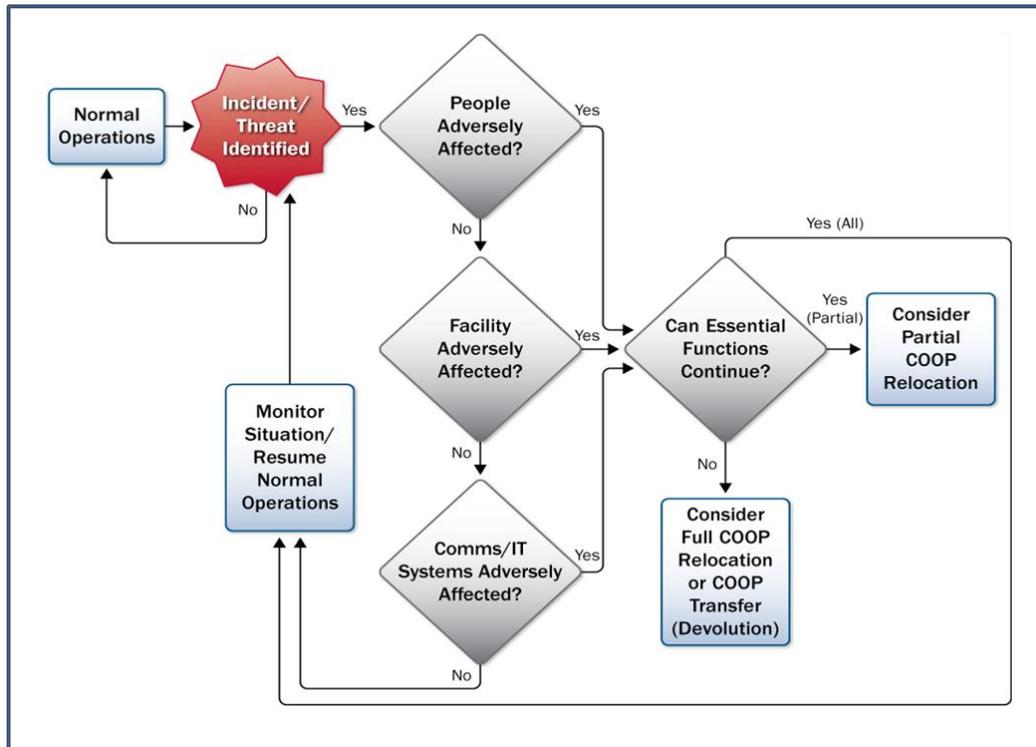
DOR developed the following activation and relocation plans to ensure operational capabilities at its continuity sites with minimal disruption to operations.

#### **2.2.1 Executive Decision Process**

The DOR Director, or designated successor, may activate the DOR Continuity Plan based on a localized emergency or threat. As shown in Figure 2-2, the continuity of operations activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of events that could disrupt operations, up to and including Continuity Plan activation. The decision to activate the Continuity Plan and corresponding actions is tailored for the situation at hand, based upon projected or actual impact and severity, and may occur with or without warning.

Full continuity of operations relocation or transfer is not required for all emergencies and disruptive situations. A partial continuity of operations relocation may be more appropriate. Partial continuity of operations relocation may involve the deployment of a minimum number of ERG members to the continuity facility, to perform selected essential functions at that location in conjunction with normal DOR operations.

**Figure 2-2: Decision Process Matrix for Continuity of Operations**



The following scenarios illustrate situations that could mandate activating the DOR Continuity Plan:

1. The National Terrorism Advisory System changes that raise the threat level.
2. The DOR facility, or portions of the facility, cannot accommodate normal business activities because of an unfavorable event, such as structural or mechanical failure, fire, or minor explosion. In this case, partial continuity of operations relocation will be considered based on the situation. The Occupant Emergency Plan will evacuate personnel as necessary.
3. The DOR facility and surrounding areas temporarily cannot accommodate normal business activities due to an unfavorable event not originating in the DOR facility, such as a nearby building collapse, air or water contamination, or loss of electrical power. In this scenario, partial continuity of operations relocation may occur. The Occupant Emergency Plan will govern the evacuation of personnel, as necessary.
4. The region is closed to normal business activities due to a widespread utility failure, terrorism, natural disaster, significant hazardous material incident, or civil disturbance. Under this scenario, there may be uncertainty of additional events such as secondary explosions, aftershocks, or cascading utility failures. In this scenario, full continuity of operations relocation may occur.

5. The region is declared a national emergency site and/or all operations have been shut down. Under this scenario, continuity of operations activation and/or full devolution may occur.
6. The DOR facility and personnel are unavailable to perform essential functions because of an extreme natural disaster, weapons of mass destruction crisis, or other similar catastrophic event. Under this scenario, DOR functions would devolve.

### **2.2.2 Alert and Notification Procedures**

The Department Operations Center is DOR's primary alert and coordination center for notifications of threat conditions for DOR. The Department Operations Center will notify designated DOR personnel and facilities of any change in threat.

1. The DOR Director or designated successor, will notify DOR leadership that the emergency requires DOR Continuity Plan activation.
2. The DOR Operations Center will contact DOR employees.
3. The DOR Director will notify the continuity facility Executive Director to implement facility support procedures, and begin preparations for arriving ERG members.
4. Depending on the situation, DOR also will provide information via the DOR Continuity Hotline (1-800-800-8000); and through announcements released to national media, wire services, and local media.

### **2.2.3 Relocation Process**

When the DOR Director activates the continuity of operations plan, the ERG members will deploy to the DOR continuity facility to perform DOR's essential functions. DOR personnel not designated as ERG members will be directed to move to another duty station or return to their home until further notice.

#### **A. Departure of ERG and Non-ERG Members:**

During duty hours with or without warning:

1. ERG members will depart for the alternate facility, the Phillip Gordon Coriander Complex (PGCC), in Anywhere, Anystate;
2. The Department Operations Center will notify the continuity facility Executive Director that the ERG has departed DOR or other location as appropriate; and,
3. Non-ERG members located at DOR or other locations will receive instructions. In most instances, non-ERG members will be directed to proceed to their homes or to other safe locations to wait for further guidance.

During non-duty hours with or without warning:

1. Each ERG member will depart for the continuity facility; and,

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2. Non-ERG staff will remain at their residence or current location to wait for further instructions.
- B. **Transition of Responsibilities to the Deployed ERG:** DOR will continue to operate, if practical and appropriate, at the primary facility, until the DOR Director or successor orders operations to cease at that location. The Director, or designated successor, once at the continuity facility, will order the cessation of all or select operations at DOR once it is determined that the PGGC and ERG staff have a sufficient level of redundancy to terminate operations. At this point, the authority and responsibility for DOR essential functions will transfer to the continuity facility. An official Office of External Affairs spokesperson will notify news media, outside customers, vendors, and other service providers as appropriate.

### **2.3 PHASE III: CONTINUITY OPERATIONS**

ERG members will deploy to the DOR continuity facility, to establish an operational capability and to perform essential functions within the timeframe prescribed for up to 30-days or until DOR resumes normal operations.

Upon arrival at the continuity facility, ERG members will:

- A. Report immediately for in-processing at the PGCC, Building 7781;
- B. Report to respective workspace;
- C. Retrieve pre-positioned information/files and activate systems or equipment;
- D. Monitor the status of DOR personnel and resources;
- E. Perform accountability of staff.
- F. Perform DOR essential functions and supporting tasks; and,
- G. Prepare and disseminate instructions and reports as required.

### **2.4 PHASE IV: RECONSTITUTION OPERATIONS**

Reconstitution includes the ability of DOR to recover from a catastrophic event and consolidate the necessary resources that allow return to a fully functional entity. Reconstitution is the process by which surviving and/or replacement DOR personnel resume normal department operations from the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility. Reconstitution operations is discussed fully in Annex L.

**ANNEX A: DOR ESSENTIAL FUNCTIONS**

This Annex identifies DOR essential functions that support DOR's ability to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base during an emergency. DOR's functions reflect those directed by applicable laws, presidential directives, executive orders, and other directives. DOR's essential functions and essential supporting activities, listed below in priority order, must be continued throughout, or resumed rapidly after, a disruption of normal activities.

**A. DOR ESSENTIAL FUNCTION**

- A. Lead emergency preparedness efforts.

**B. OFFICE OF THE DIRECTOR**

To support DOR's overall essential functions, the prioritized essential functions of the Office of the Director are as follows:

- A. Serve as Head of DOR: Oversee daily operations and set the overall priorities.

**C. PLANNING DIVISION**

To support DOR's overall essential functions, the prioritized essential functions of the Planning Division are as follows:

- A. Enhance the effectiveness of the nation's emergency responders by providing advice, expertise, and support on all aspects of preparedness, across all mission areas, both pre- and post-incident.
- B. Ensure the continued functioning of all the Planning Division's capabilities to provide effective, timely, and consistent technical expertise and support to real-world operations.

**D. OFFICE OF CHIEF PROCUREMENT OFFICER**

Provide acquisition operations support for DOR's requirements and provide management and oversight to the contracting staff located at DOR fixed facilities and in the field. This includes providing purchase and travel card management.

**E. OFFICE OF CHIEF INFORMATION OFFICER (OCIO)**

Provide operational sustainment of the DOR information technology network infrastructure and DOR critical systems and electronic records. Provide essential and disaster-related telecommunications.

**F. LOGISTICS DIVISION**

- A. Develop and provide logistics plans that detail concept of operations for providing logistics management and resource support to achieve short- and long-term readiness requirements.
- B. Provide comprehensive logistics-related fiscal, personnel and administrative services, and coordination to achieve optimum mission requirements and capabilities.
- C. Run the Department Operations Center.

**G. FACILITIES OPERATIONS DIVISION**

- A. Inform the DOR Director of any threats that may affect the DOR facility.
- B. Coordinate with DOR divisions on all ERG logistical matters related to the continuity facility.
- C. Coordinate with the OCIO to establish guidance on alternatives to storing data on the continuity server.
- D. Brief DOR Director on continuity issues, as required.

**H. LAW ENFORCEMENT DIVISION**

To support DOR's overall essential functions, the Law Enforcement Division will work with local law enforcement, private security, and pertinent members of the emergency management community to ensure communication and coordination between DOR, private sector security, and, local law enforcement occurs on a routine basis.

**I. OFFICE OF EXTERNAL AFFAIRS**

The prioritized essential functions for Office of External Affairs are:

- A. Gather information about DOR programs, essential functions, and activities and disseminate to the affected public during disaster response and recovery operations.
- B. Provide external affairs support to DOR leadership, including arranging press conferences, and producing all necessary press materials, as well as provide support and coordination for congressional briefings and private sector interaction.
- C. Provide staffing support to the Planning Division; coordinate field assets for deployment; coordinate with and support DOR leadership on matters requiring DOR coordination, and State, local, congressional, media, private sector communications in connection with disaster operations.
- D. Coordinate Office of External Affairs activities and messages with DOR officials and other Department entities as appropriate to ensure public information/messages are consistent.

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**J. OFFICE OF THE DIRECTOR BUSINESS PROCESS ANALYSIS**

The Business Process Analysis for the essential function for the Office of the Director of DOR is found below. DOR divisions are responsible for maintaining the Business Process Analysis documentation for their respective essential functions.

<u>Office of the Director Essential Function Statement:</u> <ul style="list-style-type: none"><li>• Serve as Head of DOR: Oversee daily operations and set the overall priorities.</li></ul>											
<u>Essential Function Output (Include performance metrics and conditions):</u> <ul style="list-style-type: none"><li>• Provide direction, advice and guidance to DOR employees and stakeholders regarding DOR mission and operations</li><li>• Provide regular status updates regarding operations and how to address critical gaps in capabilities</li></ul>											
<u>Essential Inputs (For each input, include who provides the input and timing):</u> <ul style="list-style-type: none"><li>• Receive support as needed from external stakeholders to meet essential functions</li></ul>											
<u>Leadership (Is senior leadership required to perform this essential function? If so, identify the required position):</u> <ul style="list-style-type: none"><li>• Director</li><li>• Deputy Director</li></ul>											
<u>Staff (Identify staff requirements, including numbers and skills or authorities):</u> <table border="1"><tr><td>Director</td><td>Credentialed</td></tr><tr><td>Deputy Director</td><td>Credentialed</td></tr><tr><td>Senior Policy Advisor</td><td></td></tr><tr><td>Special Assistant</td><td></td></tr><tr><td>Administrative Assistant</td><td></td></tr></table>		Director	Credentialed	Deputy Director	Credentialed	Senior Policy Advisor		Special Assistant		Administrative Assistant	
Director	Credentialed										
Deputy Director	Credentialed										
Senior Policy Advisor											
Special Assistant											
Administrative Assistant											
<u>Communications (Identify general and unique IT and communications requirements):</u> <ul style="list-style-type: none"><li>• Standard unclassified communications package is required</li><li>• Voice and data communications required with all leadership and EA positions</li></ul>											
<u>Facilities (Includes offices space; industrial capacity and equipment; critical supporting infrastructure, etc.):</u> <ul style="list-style-type: none"><li>• Standard Office Equipment Suite</li><li>• Joint Information Center</li></ul>											
<u>Resources and Budgeting (Includes critical supplies, services, and capabilities, and other essential resources not listed elsewhere):</u> <ul style="list-style-type: none"><li>• Joint Information Center capability</li></ul>											
<u>Partners and Interdependencies:</u> <table><tr><td><ul style="list-style-type: none"><li>• Federal agencies</li><li>• Tribal Leadership</li><li>• Congressional members and staff</li><li>• General Public</li><li>• Private Sector</li></ul></td><td><ul style="list-style-type: none"><li>• Governors and Executive State leadership</li><li>• Local Leadership</li><li>• Media</li><li>• Other DOR Regional Offices</li></ul></td></tr></table>		<ul style="list-style-type: none"><li>• Federal agencies</li><li>• Tribal Leadership</li><li>• Congressional members and staff</li><li>• General Public</li><li>• Private Sector</li></ul>	<ul style="list-style-type: none"><li>• Governors and Executive State leadership</li><li>• Local Leadership</li><li>• Media</li><li>• Other DOR Regional Offices</li></ul>								
<ul style="list-style-type: none"><li>• Federal agencies</li><li>• Tribal Leadership</li><li>• Congressional members and staff</li><li>• General Public</li><li>• Private Sector</li></ul>	<ul style="list-style-type: none"><li>• Governors and Executive State leadership</li><li>• Local Leadership</li><li>• Media</li><li>• Other DOR Regional Offices</li></ul>										
<u>Procedures and Business Process Flow (This can be a diagram or a narrative; it should reflect the process applied to accomplish the mission):</u> <ul style="list-style-type: none"><li>• Standard Operating Procedures</li></ul>											
<u>Telework Flexibilities:</u> <ul style="list-style-type: none"><li>• Telework is an effective capability for performing this task.</li></ul>											
<u>Estimated Telework Capacity:</u> 100% overall											

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**K. OFFICE OF THE DIRECTOR BUSINESS IMPACT ANALYSIS**

The Business Impact Analysis for the essential function for the Office of the Director of DOR is found below. DOR divisions are responsible for maintaining the Business Impact Analysis documentation for their respective essential functions.

<b>Business Impact Analysis Part 1: Analysis per Essential Function</b>								
<b>Essential Function Statement:</b> Serve as Head of DOR: Oversee daily operations and set the overall priorities.								
1	2	3	4	5	6	7	8	
Entry #	Threat Hazard	Threat Parameter Summary	Threat Likelihood (0-10)	MEF Vulnerability (0-10)	MEF Failure Impact (0-10)	Cumulative Risk Value (0-30)	Mitigation Strategy Needed (Yes/No)	
1	Cyber attack	Intrusion to DOR IT systems	7	5	10	22	Yes	
2	Disease outbreak /Pandemic	Spread of airborne disease among staff.	5	6	4	15	Yes	
3	Earthquake	DOR is located in an earthquake-prone area. Impact mostly in inaccessible roads.	10	10	10	30	Yes	
4	Major flooding	The DOR facility is not located near bodies of water or in flood plains.	1	1	1	3	NO	
5	Volcanoes	The DOR facility is not located near active or dormant volcanoes.	0	0	0	0	NO	
6	Winter storm	Winter storms may impede staff response or slow it down.	7	5	4	16	Yes	
7	Power outage	The DOR has a generator, but it only powers minimal life-safety equipment.	8	10	10	28	Yes	

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**Business Impact Analysis  
Part 2: Mitigation Options**

**Essential Function Statement:** Serve as Head of DOR: Oversee daily operations and set the overall priorities.

1	2	3	4	5	6	7	8	9
Entry #	Threat Hazard (Details in Annex)	Cumulative Risk Value	Mitigation: Recommendations and Plans					Adjusted Cumulative Risk Value
			Recommended Mitigation Strategies	Proposed Project Manager	Estimated Budget Requirement	Estimated Schedule	Expected Cumulative Risk Value Reduction	
1	Cyber attack	22	Invest in up-to-date software	OCIO	\$100,000	6 months	15	7
2	Disease outbreak /Pandemic	15	Preventive measures, as vaccination and hygiene.	Office of Chief Human Resources Officer	\$75,000	Annual; on-going	7	8
3	Earthquake	30	Exploring alternate routes in case of damaged roads	Facilities Operations; Logistics	\$2,000	3 months	5	25
6	Winter storm	16	Maintain alternate locations and telework capabilities	Planning Division	\$50,000	Annual; ongoing	10	6
7	Power outage	28	Maintain alternate locations and telework capabilities	Planning Division	\$50,000	Annual; ongoing	10	18

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**ANNEX B: RISK MANAGEMENT**

**A. INTRODUCTION**

Effective risk management practices and procedures assists DOR in accomplishing continuity objectives. The Planning Division conducts periodic risk analysis of the DOR primary facility and alternate facility, in conjunction with the Facilities Operations Division. Other facilities which could afford improved operational capabilities shall be continually identified and evaluated for possible use.

The most current risk assessments for the DOR primary facility is included in this annex. The current risk assessment for the alternate facility, the Phillip Gordon Coriander Complex (PGCC), is maintained by that facility.

**B. RISK CHECKLIST FOR DOR PRIMARY FACILITY**

<b>PART ONE: Facility Information</b>			
<b>Facility Name/Address:</b> DOR Primary Facility 1000 Main Street Some Town, Some State		<b>Geographical Information:</b>	
		<b>Major Intersection:</b> Main Street and 1 <sup>st</sup> Ave.	
<b>Facility POC/Contact Information:</b>			
<b>Name:</b>	<b>Phone:</b>	<b>Fax:</b>	<b>Non-duty contact</b>
Joe Facility	987.654.3210	987.654.3211	123.456.7890
<b>Facility Description:</b> Leased facility from local developer. DOR is co-located with another government agency. DOR occupies the 4th – 8th floors of the 10 floor building.		<b>Primary Use:</b> Office Building	
		<b>Year Built:</b> 1985	
		<b>Square Footage:</b> 50K +/-	
<b>Assessment Team Member(s):</b> Jane Coop		<b>Construction:</b> Block/wood/glass	
		<b>Visit Date(s):</b> June 4	
<b>Last Assessment Date:</b> August - three years ago			

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<b>PART TWO: Identification of Assets or Operations at Risk</b>	
<i>Use Part Two to identify the following facility at-risk assets or operations.</i>	
<b>People:</b>	
<input checked="" type="checkbox"/> Employees/Students <input checked="" type="checkbox"/> Visitors and guests <input checked="" type="checkbox"/> Contractors working on site	<input type="checkbox"/> Emergency responders <input checked="" type="checkbox"/> Community surrounding the facility <input type="checkbox"/> Other:
<b>Property:</b>	
<u>Physical Property</u>	<u>Utilities:</u>
<input checked="" type="checkbox"/> Corporate/Government offices	<input checked="" type="checkbox"/> Telecommunications
<input type="checkbox"/> Manufacturing facilities	<input checked="" type="checkbox"/> Electricity
<input type="checkbox"/> Call center	<input checked="" type="checkbox"/> Water
<input type="checkbox"/> Distribution centers	<input type="checkbox"/> Gas
<input type="checkbox"/> Data-processing center	<input type="checkbox"/> Steam
<input type="checkbox"/> Research and development labs	<input checked="" type="checkbox"/> Heating/ventilation/air conditioning
<input checked="" type="checkbox"/> Property on the premises of others	<input checked="" type="checkbox"/> Pollution control
<input checked="" type="checkbox"/> Vital papers, records, and drawings	<input checked="" type="checkbox"/> Sewerage system
<u>Other critical infrastructure:</u>	
<u>Intellectual Property:</u>	<input type="checkbox"/> Machinery and equipment
<input type="checkbox"/> Copyright and patent infringement	<input checked="" type="checkbox"/> Computers and computer networks
<ul style="list-style-type: none"> <li>• Trademark infringement</li> <li>• Theft of intellectual property</li> </ul>	<ul style="list-style-type: none"> <li>• Software applications</li> <li>• Electronic data</li> </ul>
<input checked="" type="checkbox"/> Theft of information	<input type="checkbox"/> Inventory:
<ul style="list-style-type: none"> <li>• What is in the trash</li> </ul>	<ul style="list-style-type: none"> <li>• Raw materials</li> <li>• Finished product</li> </ul>
<b>Operations:</b>	
<input type="checkbox"/> Manufacturing processes	<input type="checkbox"/> Research and development
<input checked="" type="checkbox"/> Delivery of services	<input type="checkbox"/> Supply chain
<input checked="" type="checkbox"/> Administrative support services	
<b>Environment:</b>	
<input checked="" type="checkbox"/> Air	<input checked="" type="checkbox"/> Water
	<input checked="" type="checkbox"/> Ground
<b>Organization:</b>	
<input type="checkbox"/> Economic and financial condition	<input checked="" type="checkbox"/> Community relationships
<input type="checkbox"/> Licenses, patents, or trademarks	<input checked="" type="checkbox"/> Regional and national impact
<input checked="" type="checkbox"/> Reputation and image as a well-managed company	<input checked="" type="checkbox"/> Contractual obligations
<input type="checkbox"/> Regulatory compliance and relationships with regulator	

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<b>PART THREE: Determination of Facility Hazards</b>	
<i>Use Part Three to determine the potential hazards that may impact your facility.</i>	
<b>Natural Hazards—Geological:</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Earthquake</li> <li><input checked="" type="checkbox"/> Tsunami</li> <li><input type="checkbox"/> Volcano</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Landslide, mudslide, subsidence</li> <li><input type="checkbox"/> Sink Holes</li> </ul>
<b>Natural Hazards—Meteorological:</b>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> Flood, flash flood, tidal surge</li> <li><input checked="" type="checkbox"/> Drought</li> <li><input checked="" type="checkbox"/> Extreme temperatures (heat, cold)</li> <li><input type="checkbox"/> Windstorm, tropical cyclone, hurricane, tornado, water spout, dust/sand storm</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Lightning strikes</li> <li><input type="checkbox"/> Famine</li> <li><input type="checkbox"/> Geomagnetic storm</li> <li><input type="checkbox"/> Snow, ice, hail, sleet, avalanche</li> </ul>
<b>Natural Hazards—Biological:</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Diseases (pandemic)</li> </ul>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Animal or insect infestation or damage</li> </ul>
<b>Human-Caused Accidental Events:</b>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> Hazardous material (explosive, flammable liquid/solid/gas, oxidizer, poison, radiological, spill /release)</li> <li><input type="checkbox"/> Natural gas leak</li> <li><input checked="" type="checkbox"/> Water pipe breakage</li> <li><input type="checkbox"/> Nuclear power plant incident</li> <li><input checked="" type="checkbox"/> Hazmat incident off site</li> <li><input checked="" type="checkbox"/> Explosion/fire</li> <li><input type="checkbox"/> Wildfire (forest, range, urban, wildland, urban interface)</li> <li><input checked="" type="checkbox"/> Transportation accident (motor vehicle, railroad, watercraft, aircraft pipeline)</li> </ul>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Entrapment</li> <li><input checked="" type="checkbox"/> Mechanical breakdown</li> <li><input checked="" type="checkbox"/> Energy/power/utility failure</li> <li><input checked="" type="checkbox"/> Communications systems interruptions</li> <li><input checked="" type="checkbox"/> Air/water pollution, contamination</li> <li><input checked="" type="checkbox"/> Fuel/resource shortage</li> <li><input checked="" type="checkbox"/> Building/structure failure or collapse</li> <li><input type="checkbox"/> Water control structure/dam/levee failure</li> <li><input checked="" type="checkbox"/> Financial issues, economic depression, inflation, financial system collapse</li> </ul>
<b>Human-Caused Intentional Events:</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Terrorism (explosive, chemical, biological, radiological, nuclear, cyber)</li> <li><input checked="" type="checkbox"/> Sabotage or vandalism</li> <li><input checked="" type="checkbox"/> Civil disturbance, public unrest, mass hysteria, riot</li> <li><input checked="" type="checkbox"/> Enemy attack, war</li> <li><input type="checkbox"/> Insurrection</li> <li><input type="checkbox"/> Strike or labor dispute</li> <li><input type="checkbox"/> Demonstrations</li> <li><input checked="" type="checkbox"/> Disinformation</li> <li><input checked="" type="checkbox"/> Criminal activity (vandalism, arson, theft, fraud, embezzlement, data theft)</li> <li><input checked="" type="checkbox"/> Electromagnetic pulse</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Sniper incident</li> <li><input checked="" type="checkbox"/> Crime, theft, or robbery</li> <li><input checked="" type="checkbox"/> Product defect or contamination</li> <li><input type="checkbox"/> Harassment</li> <li><input type="checkbox"/> Arson</li> <li><input checked="" type="checkbox"/> Bomb threat</li> <li><input checked="" type="checkbox"/> Lost person</li> <li><input type="checkbox"/> Child abduction</li> <li><input type="checkbox"/> Kidnap</li> <li><input type="checkbox"/> Extortion</li> <li><input type="checkbox"/> Hostage incident</li> <li><input type="checkbox"/> Workplace violence</li> <li><input checked="" type="checkbox"/> Physical or information security breach</li> </ul>
<b>Technological-Caused Events:</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Telecommunications</li> <li><input checked="" type="checkbox"/> Central computer, mainframe, software, or application</li> </ul>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Energy/power/utility</li> <li><input checked="" type="checkbox"/> Ancillary support equipment</li> </ul>

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<b>PART FOUR: Facility Risk Assessment Checklist (Building, Facilities, and Grounds)</b>			
NOTE: If a question (or entire section) does not apply to the facility, enter "N/A" in "Explain"			
<b>1. Physical Facility</b> (Note: For this sections, 'near' means 'within one mile', but take into account any other potential hazards.)			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
1.1. Is the site in a facility shared with other tenants?	<b>x</b>		
1.2. Are all dumpsters clear of the building, electrical, HVAC, utility equipment and junction boxes?	<b>x</b>		
1.3. Is the facility located near any chemical or petroleum storage areas?	<b>x</b>		
1.4. Is the facility located near an interstate or freeway or railway line?	<b>x</b>		
1.5. Is the facility located in a flood plain or near a lake or river?		<b>x</b>	
1.6. Is the facility located in the flight path of an airport/military base?	<b>x</b>		
1.7. Is the facility located near a known earthquake fault?	<b>x</b>		
1.8. Is the facility located in an unsafe or high crime area?		<b>x</b>	
1.9. Is the facility located near State or Federal Government buildings?	<b>x</b>		
1.10. Does the facility have overhead water sprinklers for fire suppression?	<b>x</b>		
1.11. Does the facility have an adequate number of hand held fire extinguishers with current inspection tags?	<b>x</b>		
1.12. Is the gas meter attached to the building?	<b>x</b>		
1.13. Is the facility located near harbors/industrial areas?	<b>x</b>		
<u>Comments for this section:</u> The facility is earthquake retrofitted and meets code. An inquiry of the area crime tracker site indicates mild to no violent crimes reported near the site.			
<b>2. Doors</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
2.1. Does a sturdy, well constructed door protect each entrance?	<b>x</b>		
2.2. Could a vehicle penetrate any of the entrances to the facility?	<b>x</b>		
2.3. Is each door securely hung with heavy-duty, burglar-resistant hinges?	<b>x</b>		
2.4. Do any of the external access doors open/close automatically?			
2.5. If there are automatic doors, are supplemental locking devices used on them?		<b>x</b>	
2.6. Are electric surveillance devices (cameras) used on the doors?	<b>x</b>		
2.7. Are all doors monitored or connected to a central alarm system?	<b>x</b>		
2.8. Are there Guards posted at all main and auxiliary entrances and exits?	<b>x</b>		
2.9. Does the facility have a documented lockup procedure which is followed nightly?	<b>x</b>		
2.10. Are emergency exits clearly marked and free of obstructions?	<b>x</b>		
<u>Comments for this section:</u>   			

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<b>3. Windows</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
3.1. Is the glass in windows resistant to breakage?	<b>x</b>		
3.2. Are windows which can be opened equipped with physical locks?	<b>x</b>		
3.3. Are any windows equipped with electronic locking devices?	<b>x</b>		
3.4. Are windows connected to a centralized alarm system?	<b>x</b>		
3.5. Are windows which can be open physically checked nightly to see if they are closed and locked?	<b>x</b>		
3.6. Are measures taken to secure windows that can be easily reached from outside the building?	<b>x</b>		
3.7. Have obstructions been removed from outside of the windows so that a clear view is visible?	<b>x</b>		
3.8. Is there a window maintenance process in place to replace broken windows immediately?	<b>x</b>		
<u>Comments for this section:</u>			
<b>4. Roofs and Overhangs</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
4.1. Are there exterior ladders or stairways to the roof area?		<b>x</b>	
4.2. If yes, are external ladders and stairways secured?			<b>x</b>
4.3. If yes, are external ladders and stairways brightly illuminated?			<b>x</b>
4.4. Are internal ladders and stairways to the roof secured?	<b>x</b>		
4.5. Are internal ladders and stairways brightly illuminated?	<b>x</b>		
4.6. Are gutters and drains protected at the roofline from intrusion by climbers?	<b>x</b>		
4.7. Can a vehicle be driven close enough to the building to be used to access the roof?	<b>x</b>		
4.8. Is there air conditioning or water coolant equipment on the roof?	<b>x</b>		
<u>Comments for this section:</u>			
A vehicle could be placed close enough to the building to allow access to the roof via a portable ladder.			
<b>5. Loading Docks and Cartage Areas</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
5.1. Have employees been trained on security and access policies and procedures?	<b>x</b>		
5.2. Are the loading dock doors kept unlock during the day?		<b>x</b>	
5.3. Are all loading dock doors electronically monitored by cameras?	<b>x</b>		
5.4. Is there a secured door from the dock to the main building?	<b>x</b>		
5.5. Do dock employees have written security and access policies and procedures available?	<b>x</b>		
<u>Comments for this section:</u>			

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<b>6. Processes and Procedures</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
6.1. Is there an Emergency Action Plan (EAP) for the employees and customers?	<b>x</b>		
6.2. Are emergency evacuation plans (maps/floor plan) clearly visible (posted on walls)?	<b>x</b>		
6.3. Has there been an actual emergency evacuation of the facility within the last 12 months?		<b>x</b>	
6.4. Has there been an emergency test evacuation of the facility within the last 12 months?	<b>x</b>		
6.5. Has there been a bomb threat within the last 12 months?		<b>x</b>	
6.6. Has the facility been closed because of natural or man-made incidents within the last 12 months?		<b>x</b>	
<u>Comments for this section:</u>			
<b>7. Emergency Generator(s)</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
7.1 Does the facility have an emergency power generator(s)? If NO, go to the next sections.	<b>x</b>		
7.2. If yes, how many? (Circle the correct number)	<b>1</b>	2	3
7.3. If more than one generator are they run in: <input type="checkbox"/> Serial <input type="checkbox"/> Parallel <input checked="" type="checkbox"/> Primary and backup			
7.4. KVA Rating: (Circle the correct number)	<b>1</b>	2	3
7.5. Is the generator supported by more than one fuel tank?		<b>x</b>	
7.6. Gallons for fuel	<b>5,000 gal</b>		
7.7. Is the tank <input type="checkbox"/> Above Ground <input checked="" type="checkbox"/> Below Ground			
7.8. Will the generator run for 24-hours with the current fuel supply?	<b>x</b>		
7.9. Is the generator tested weekly?	<b>x</b>		
7.10. Is there a scheduled maintenance plan for the generator?	<b>x</b>		
7.11. Are there written procedures for starting/stopping the generator?	<b>x</b>		
7.12. If yes, are the procedures positioned around or near the generator?	<b>x</b>		
7.13. Is there someone assigned responsibility (primary and alternate) for the generator?	<b>x</b>		
7.14. Is the generator under lock and key?	<b>x</b>		
7.15. Is the generator positioned in a secure area?	<b>x</b>		
7.16. Does the facility have a service contract for maintenance and for fuel provisions, in the event of a disaster/emergency?		<b>x</b>	

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7.17. What is the generator configured to provide emergency power to? (Check all that apply)					
<input checked="" type="checkbox"/> Security systems	<input checked="" type="checkbox"/> Fire suppression	<input type="checkbox"/> Entire building			
<input type="checkbox"/> HVAC	<input checked="" type="checkbox"/> Water pumps	<input type="checkbox"/> Lighting			
<input type="checkbox"/> Mainframe computer	<input type="checkbox"/> Desktop computers	<input type="checkbox"/> Telephone equipment			
<input type="checkbox"/> Office power outlets	<input type="checkbox"/> Other (specify)	<input type="checkbox"/> LAN equipment			
<input type="checkbox"/> 7.18. Is the transfer switch for the generator Automatic or Manual?			<b>Automatic</b>		
<u>Comments for this section:</u> The DOR facility lacks high security locks on the exterior of the building as well as the generator room.					
<b>8. Uninterruptible Power Supply (UPS)</b>					
			<b>Yes</b>	<b>No</b>	<b>N/A</b>
8.1. Does the facility use UPS (battery) back-up for building power (not the small ones for PCs)? If NO, skip to the end of this Part.				<b>x</b>	
8.2. Is the UPS located in a room of its own (no other equipment)?					
8.3. Is the UPS Standalone or rack mounted?					
8.4. Are start-up and shut-down procedures attached to or in proximity to the UPS?					
8.5. Is the UPS tested on a regular basis? If yes, how often?					
8.6. Does the UPS have remote status monitoring (alarms)?					
8.7. Is the transfer switch for the UPS Automatic or Manual?					
8.8. Does the UPS room have (check all that apply)					
<input type="checkbox"/> Fire suppression					
<input type="checkbox"/> Fire detection					
<input type="checkbox"/> Water protection					
<input type="checkbox"/> HVAC					
<input type="checkbox"/> 8.9. What is the Load Time for the UPS (i.e. how long can it provide power with the existing power load)?					
<u>Comments for this section:</u> No UPS services is provided the area.					

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**C. RISK ASSESSMENT FORM FOR DOR PRIMARY FACILITY**

**Scoring:**

**Likelihood:** Score each risk 0 through 10, with 0 being no likelihood at all and 10 as a sure thing over the next 5-year planning horizon.

**Vulnerability:** Score each risk based upon how susceptible your essential functions and organization is to the particular threat with 0 being immune from the risk and 10 being very susceptible and no mitigation measures in place

**Impact:** Score each risk 0 though 10, with 0 being no impact at all and 10 as a death sentence for the agency.

**Sorting:**

This spreadsheet adds the likelihood, the vulnerability, and the impact to get a rough risk analysis score. The risks with the highest scores deserve the most attention during planning.

	Date:	Likelihood	Vulnerability	Impact	Score
	Risk	0 – 10	0 - 10	1 - 10	
<b>External Risks</b>					
<b>Natural Disasters</b>					
2	Earthquakes	5	5	2	12
3	Tornadoes/High Winds	3	3	5	11
5	Severe Thunderstorms	2	1	1	4
4	Hail	2	2	2	6
	Snow/Ice/Blizzard	0			0
3	Extreme Temperatures	10	0	1	11
1	Floods/Tidal Surges	3	5	5	13
	Forest/Brush Fires	0			0
	Land Slides	0			0
2	Sink Holes	1	3	8	12
	Sand Storms	0			0
<b>Man-Made Risks</b>					
2	Highway Access	10	2	5	17
3	Railroad	4	3	3	10
	Pipelines	0			0
1	Airports	5	6	8	19
4	Harbors/Industrial Areas	2	2	3	7
3	Chemical Users	5	2	3	10
	Dams	0			0
<b>Civil Issues</b>					
	Riot	0			0
1	Labor Stoppage/Picketing	1	1	1	3

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	<b>Date:</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Impact</b>	<b>Score</b>
	<b>Risk</b>	<b>0 – 10</b>	<b>0 - 10</b>	<b>1 - 10</b>	
<b>Location-wide Risks</b>					
<b>The Basics</b>					
1	Electricity	6	3	8	17
4	Telephones	5	2	3	10
3	Water	5	4	5	14
2	Climate Control (Heat & AC)	5	5	5	15
	Data Communication Network				0
<b>Structural</b>					
2	Weather Related	1	2	10	13
1	Fire	4	2	10	16
1	Water Pipe Breakage	4	4	8	16
3	Lightning	1	2	8	11
<b>Security</b>					
3	Workplace Violence	1	5	2	10
1	Bomb Threats	5	8	1	14
1	Trespassing	7	5	2	14
2	Physical Security of Property	5	5	1	11
	Sabotage	0			0
	Intellectual Property – What is in the Trash				0
	Theft of Knowledge – Industrial Espionage Intelligence				0
<b>Medical</b>					
1	Sickness	5	1	10	16
3	Sudden Death	1	4	2	7
2	Serious Accident	3	2	5	10
3	Fatal Accident	1	2	4	7

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**D. MITIGATION EFFORTS FOR DOR PRIMARY FACILITY**

Observation Title	Recommendation	Corrective Action Description	Primary Responsible Division	Start Date	Completion Date
The DOR facility lacks high security locks on the exterior of the building as well as the generator room.	Lack of high security locks presents access point to the building and back-up power supply.	Install high security locks on the exterior of the building as well as the generator room. Enforce strict key control for the building keys.	Facilities Operations Division	July 1	November 30
Current CCTV system is old and very sparse. Lack of camera coverage is evident.	CCTV equipment is no longer reliable and lack of coverage increases susceptibility to unauthorized access.	Install a state of the art CCTV system that will cover the entire Russell Building as well as the surrounding area. This will help with the reduction of the contract guard force.	Facilities Operations Division	January 15	August 30

**ANNEX C: BUDGETING AND ACQUISITION**

DOR is responsible for identifying and providing continuity funding and specific budgetary guidance and requirements for the organization. Budgeting for and acquiring resources for continuity capabilities is one of the most important components of continuity planning. These budgetary requirements will directly support the ability of DOR to meet all the criteria of a viable continuity capability.

The Office of the Chief Procurement Officer is responsible for determining the annual budget of the continuity program, to include costs related to facilities, equipment (to include communications equipment identified in Annex G), travel, and test, training, and exercises.

DOR has completed a Multi-Year Strategy and Program Management Plan. Copies of the Multi-Year Strategy and Program Management Plan are kept by the Office of the Chief Procurement Officer. Identified mitigation measures for risks that have been determined to be unacceptable will have priority funding from continuity funding.

DOR has pre-identified equipment, including technology and telecommunications hardware it needs to perform essential functions.

1. Planning Division is responsible for maintaining enough consumable office supplies to sustain their continuity operations and activities for up to 30 days or until DOR resumes normal operations.
2. Using established procedures, DOR will order necessary equipment and supplies not already in place at the continuity facility and will coordinate their orders with the DOR Chief Procurement Officer.
3. The Chief Procurement Officer will coordinate emergency procurement services as necessary to acquire equipment/supplies not already in place at the continuity facility. The emergency acquisition of resources necessary for continuity operations will be conducted through the standard acquisition process and the use of available funds.

**ANNEX D: ORDERS OF SUCCESSION**

**A. PURPOSE**

This annex lists the established procedures for designating the order of succession of officials to serve in an acting capacity in DOR. Pre-identifying an order of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, DOR has identified successors to ensure there is no lapse in essential decision-making authority. DOR orders of succession down to the Assistant Director and Chief level are provided in this Annex.

The orders of succession ensure continuity by identifying the individuals, by position, who DOR has authorized to act for DOR officials in case these officials are unavailable. The orders of succession are an essential part of DOR's operational procedures. The orders must be of sufficient depth to ensure the division's ability to perform essential functions while remaining a viable part of the Department during any emergency. DOR encourages geographical dispersion of the positions and it is consistent with the principle of providing succession to key positions in emergencies of all types.

**B. APPLICABILITY**

The provisions contained within this Annex are applicable to all DOR divisions.

**C. POLICY**

Succession to the position of DOR Director: In the event of the death, resignation, or otherwise inability to perform the functions and duties of the position of DOR Director, the Deputy Director, if available, shall perform the functions and duties of the office of vacant Director temporarily in an acting capacity immediately and automatically upon the occurrence of the vacancy.

Persons appointed on acting or on other temporary basis to the positions listed in Table D-1 are ineligible to serve.

**D. DEFINITIONS**

Unavailable: The term UNAVAILABLE means the incumbent of a position is not able, because of absence, disability, incapacity, or other cause, to exercise the powers and duties of an office. Questions on any legal issues related to succession should be addressed to the DOR Chief Counsel.

**E. PROCEDURES**

The DOR Director will operate from a location that in the judgment of the DOR Director will best serve as DOR. If the operability of any other point of command is in the judgment of the DOR Director sufficiently superior, then the DOR Director may move to that place or provide direction to the successor who is at that location.

Successors will exercise authorities and functions only until superseded by an official higher on the list or by a successor specifically designated by proper authority to assume direction.

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Those designated under this instruction to exercise the powers and duties of the office will be instructed from time to time in the emergency duties they are expected to perform if succession occurs.

DOR will include orders of succession in the DOR vital records and will make them available at the continuity facility.

Personnel will receive notification of succession requirements and responsibilities from the person they will succeed, if they are available, or by a senior manager in their absence. Personnel will receive notification in person, by telephone, or by the Department Operations Center.

**F. SUBMISSION OF OTHER SUCCESSION LISTS**

DOR will revise its orders of succession, as necessary, and distribute promptly as changes occur.

**Table D-1: DOR Orders of Succession List**

**Office of the Administrator**

<b>Position</b>	<b>Designated Successors</b>
<b>Director, DOR</b>	1. Deputy Director
	2. Assistant Director, Planning Division
	3. Assistant Director, Logistics Division
	4. Eastern Region Director
	5. Southern Region Director

**Planning Division**

<b>Position</b>	<b>Designated Successors</b>
<b>Assistant Director</b>	1. Deputy Assistant Director, Planning Division
	2. Chief Procurement Officer
	3. Chief Information Officer

**Office of Chief Procurement Officer**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief Procurement Officer</b>	1. Deputy Chief Procurement Officer
	2. Chief, Finance
	3. Chief, Budget

**Office of Chief Information Officer**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief Information Officer</b>	1. Deputy Chief Information Officer
	2. Chief, Response

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**Office of Chief Counsel**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief Counsel</b>	1. Deputy Chief Counsel
	2. Chief, Response
	3. Director, Western Region
	4. Director, Northern Region

**Logistics Division**

<b>Position</b>	<b>Designated Successors</b>
<b>Assistant Director</b>	1. Deputy Assistant Director, Logistics
	2. Chief, Response
	3. Chief, Recovery

**Facilities Operations Division**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief</b>	1. Tom Williams
	2. Robert Smith
	3. Allison Lee

**Law Enforcement Division**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief</b>	1. Greg Evans
	2. Brad Nguyen
	3. Michelle Harris

**Office of External Affairs**

<b>Position</b>	<b>Designated Successors</b>
<b>Chief</b>	1. Adam Montana
	2. Marcus Chapman
	3. Victoria Johnson

**ANNEX E: DELEGATIONS OF AUTHORITY**

**A. PURPOSE**

Delegations of authority specify who is authorized to act on behalf of DOR Director or other officials for specified purposes and is included as a vital record.

Officials who may be expected to assume authorities in an emergency must receive annual training on how to carry out their emergency duties. DOR delegations of authority comply with applicable laws and regulations.

**B. DELEGATION AUTHORITY FOR THE DOR DIRECTOR**

The following officials, in the order listed in Table E-1 below, are delegated authority to exercise the powers and perform the duties of the DOR Director in case of absence, inability to perform, or vacancy of the office and until that condition ceases.

**Table E-1: DOR Orders of Succession and Delegations of Authority**

Designated Successors
Deputy Director
Assistant Director, Planning Division
Assistant Director, Logistics Division
Eastern Region Director
Southern Region Director

DOR officials listed in the succession order may exercise all the powers, duties, authorities, rights, and functions authorized to be performed by the incumbent, to the extent not otherwise limited by law.

Only officials specifically designated in the order or succession for each of the named positions in Table E-1 are eligible. Unless formally appointed by the Director, persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

The prohibition of any re-delegation of powers, authorities, functions, and duties contained in Departmental Delegations, Directives, Management Directives, Instructions, Manuals, or similar internal documents, is not applicable to restrict the authority of any individual who is exercising the authority of a vacant position under this delegation. Such individual shall, however, be bound by such Departmental Delegations, Directives, Management Directives, Instructions, Manuals, or similar internal documents, and shall not further re-delegate powers to any individual.

Nothing in this delegation is intended to limit the discretion of the Director to depart from this delegation.

**ANNEX F: CONTINUITY FACILITIES**

**A. PHILLIP GORDON CORIANDER COMPLEX**

The DOR alternate facility is located at the Phillip Gordon Coriander Complex (PGCC), Building 7811 in Anywhere, Anystate. The PGCC is located 100 miles away from the primary DOR facility and is not affected by the same threats and hazards as the DOR primary facility, as determined by the risk assessment. Listed below is facility information pertinent to DOR ERG members involved in DOR's continuity program:

- Location: Anywhere, Anystate. Located conveniently off I-2558 and I-6941.
- Telephone numbers: (800) 000-0000 / (202) 566-1600 7 a.m. to 11 p.m. EST.  
(804) 000-0001 (Police Dispatch) 11 p.m. to 7 a.m. EST.  
(800) 000-0002 for weather/road conditions.
- Address: Phillip Gordon Coriander Complex  
1 PGCC Road, Building 7811  
Anywhere, Anystate 12345

The DOR maintains a Memorandum of Understanding with the PGCC, which allows the DOR use of Building 7811 during an activation of the continuity plan. The Office of Chief Counsel maintains a copy of the Memorandum of Understanding and reviews it annually. The Planning Division will annually reevaluate the PGCC as an alternate facility for suitability and functionality as part of its annual continuity plan review and revision.

**B. LOGISTICS / SUPPORT**

During an emergency, the DOR Planning Division and PGCC will provide responsive support and assistance to DOR divisions temporarily relocated to the PGCC, Building 7781. Through the duration of the emergency, DOR Planning Division and PGCC will make provisions to ensure the ability of DOR personnel to continue performance of their essential functions at the continuity facility, and to provide for the safety and well-being of all concerned. DOR ERG members must participate in continuity test, training, and exercise events to ensure they are familiar with the PGCC and operations there.

Continuity site support procedures must include relevant factors affecting continuity implementation, which generally addresses those actions or arrangements that must be addressed before or shortly after the DOR Continuity Plan is activated.

The factors involving specific elements of the PGCC, Building 7781 include:

- A. In Processing: PGCC security will maintain a current ERG roster at all times, as provided by the DOR. ERG members will report to the lobby of Building 7811 for check-in and in processing.
- B. Transportation to the Continuity Facility: ERG members will relocate to the PGCC using privately owned vehicles.

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- C. Food Services: To accommodate the daily presence of ERG members at the continuity facility, PGCC staff will coordinate, as needed, augmentation of the food services provided by PGCC dining facilities. The PGCC is located in a suburban area with ample restaurant and grocery options.
- D. On-Site Lodging: Employees who are unable to commute from home or who may be required to work extended hours should be prepared to rely on local lodging facilities near the PGCC. The Planning Division will provide a list of local hotels upon in-processing.
- E. Continuity Facilities: The DOR Planning Division will assist ERG members upon arrival and ensure an orderly transition of office space and equipment for continuity operations. DOR has pre-positioned equipment at the site and ensured that the PGCC provides sufficient space, equipment and other resources. Annex G outlines the communications requirements for DOR during a continuity activation.
- F. Operating Hours: The DOR Director will determine daily working hours for the ERG at the PGCC depending on the nature of the emergency. PGCC support procedures and resources will adapt to the work schedules established for ERG members in order to provide adequate support for the ERG members while on-site.

### **C. TEMPORARY DUTY ENTITLEMENTS**

Following official execution of the DOR Continuity Plan, ERG members who are also directed to relocate to the continuity facility temporarily are eligible for travel entitlements. These entitlements include:

- 1. Local Travel: Reimbursement for employees who choose to commute daily includes mileage between the home and other authorized point (e.g., the primary DOR facility) and the continuity facility.
  - A. Temporary Duty Travel: Temporary duty of two or more days merits consideration for reimbursement of lodging and Meals and Incidental Expenses as described below:
    - On-site housing at the alternate site will be used, if available. Reimbursement includes mileage and housing costs, plus the current daily rate for Meals and Incidental Expenses at the PGCC; and,
    - If on-site housing is not available, per diem for off-site lodging and Meals and Incidental Expenses may be authorized. Reimbursement includes mileage plus lodging and Meals and Incidental Expenses at the current locality rate.

Each division should prepare a travel authorization document for each ERG member as soon as possible upon arrival at the continuity facility. Each division will pay all costs associated with travel, lodging, and Meals and Incidental Expenses for their ERG members.

## **ANNEX G: CONTINUITY COMMUNICATIONS**

This annex describes all relevant communication procedures that will be used in the event DOR is required to relocate to the continuity facility to maintain continuity of operations. The Logistics Division will work with the continuity facility to assist with the provision of available and redundant critical communications systems to support connectivity to internal organizations, other agencies, critical customers, and the public.

### **A. COMMUNICATIONS**

The DOR communications can be divided into three categories:

1. Alternate electronic communication (Internet, E-mail, Blackberry, Pager);
2. Paper-based communication (Fax); and,
3. Verbal communication (Telephone).

### **B. CAPABILITY REQUIREMENTS**

The Logistics Division is responsible for ensuring continuity communications requirements are identified and resourced. Continuity communications support continuity operations by providing the following:

1. Capabilities commensurate with essential function and activity requirements;
2. Ability to initiate and sustain leadership and essential functions and activities;
3. Ability to communicate with continuity contingency staffs, management, and other organizational divisions with minimal delay;
4. Ability to communicate with other organizations and emergency personnel under austere conditions with minimal delay; and,
5. Access to other data and systems necessary to conduct essential activities and functions.

### **C. CONTINGENCY PLANNING**

The Logistics Division will work with the divisions within DOR to:

1. Plan for all possible contingencies from a temporary or short-term disruption to a full communications failure. Plans must consider the everyday staff functions and the communications, both secure and non-secure voice and data, used to support them;
2. Consider the impact on activities if all office communications were prioritized. Identify which communication systems should be restored first in an emergency;
3. Determine backup communications for each of their functions. Options can include messengers, laptop computers, cell telephones, Blackberries, pagers, facsimile machines, or two-way radios; and,
4. Identify the secure communications systems needed to perform identified essential functions. These systems include secure voice, file transfer, secure data, and facsimile equipment.

**D. GENERAL INFORMATION**

1. While at the continuity facility, ERG members entering restricted-entry rooms may not carry any communications devices into those areas. Blackberries, cell telephones, and pagers must be kept in non-restricted areas;
2. After reporting to the continuity facility, ERG members must change their voice mail greeting to inform callers of their new telephone number at the continuity facility;
3. As the situation permits, ERG members at the continuity facility will notify family members of their new telephone number to ensure their family can contact them in event of an emergency at home; and,
4. The Logistics Division will keep a copy of the most current Continuity Communications Plan at the continuity facility.

Table G-1 lists key telephone numbers for the continuity facility.

**Table G-1: Continuity Facility Telephone Numbers**

<b>Continuity Facility Telephone Numbers</b>	
<b>PGCC</b>	
▪	All emergencies, ext 911
▪	Security, ext 2-0000
▪	Fire/Emergency Medical Technicians/Ambulance, ext. 911
▪	Medical, ext 2-0001 or 2-0002
▪	Facilities Maintenance, ext 2-0003 (7 a.m. - 4:30 p.m.)
▪	Facilities Maintenance, ext 2-0004 (non-duty hour emergency)
▪	DOR Operations Center; ext 2-0005; or 1-800-000-0000
▪	IT Help Desk, ext 2-0006
▪	Mail/Printing/Copying; ext 2-0007
▪	Office Supplies, ext 2-0008
▪	Telecom Service Center, ext 2-0009
▪	Visitor's Center, ext 2-0010

DOR satisfies requirements to provide assured and priority access to communications resources, including the Government Emergency Telephone Service, Wireless Priority Service, and Telecommunications Service Priority. The DOR point-of-contact for these services is the Office of the Chief Information Officer.

DOR's ability to execute their continuity of operations plan depends on the availability and redundancy of critical communications systems to support connectivity to internal organizations, other agencies, critical customers, and the public. DOR has identified the communications systems required at the alternate site, as depicted in Table G-2. Redundant communication systems will be available to support continuity of operations requirements within the period identified, but not later than 12-hours of continuity activation, and throughout continuity operational activities. The DOR does not share continuity facility space.

**Table G-2: Continuity Communications**

<b>System Type</b>	<b>System Name</b>
Voice	Telephone System Public Switched Telephone Network Defense Switched Network Cellular Phone, Wireless Priority Services
Radio	National Radio System Microwave Satellite
Data	DOR Data Network Defense Message System/Automatic Digital Network Connectivity (Secure/Non-secure) Internet Access

**E. DOR CONTINUITY COMMUNICATIONS**

DOR's continuity communications systems are based on the following systems, assumptions, plans, and procedures:

- A. Non-secure electronic communications systems capable of establishing voice, file transfer, and facsimile connectivity with other locations (i.e. telephone/facsimile lines, High Frequency/Automatic Link Establishment radios, Ultra High Frequency radios, land mobile radio, specialized mobile radio, cell phone capabilities);
- B. Communications plans and procedures that include detailed operations and maintenance procedures for mission essential communications equipment;
- C. Administrative procedures that will provide for an accurate record of activity and maintenance logs throughout any contingency; and,
- D. Established in-place communications, transmission, security practices, and emergency procedures.

**F. TELECOMMUNICATIONS AND INFORMATION SYSTEMS SUPPORT**

In general, the telecommunications and information systems support provided at the primary DOR facility is also available at the continuity facility. At a minimum, all systems will meet DOR baseline software requirements. It is imperative that DOR divisions ensure unique or critical information system requirements are considered in planning and identified as capabilities to be provided by support organizations at the continuity facility, as appropriate.

## **ANNEX H: VITAL RECORDS MANAGEMENT**

The DOR Office of the Chief Information Officer (OCIO) provides overall program responsibility guidance and oversight for protecting vital records needed to support DOR essential functions under any potential or actual emergency. This guidance includes specifications for program purpose and the scope and assignment of roles and responsibilities. OCIO must annually review the vital records program to address new security issues, identify problem areas, update information, and incorporate any additional vital records.

Data maintained at DOR is available to support continuity of operations and deployed ERG members. DOR will ensure that databases and other reference material supporting DOR essential functions are either pre-positioned at the continuity facility, carried with deployed personnel, or made available through an automated data backup process. DOR will make all efforts to pre-position vital files, records, and databases at the continuity facility. For vital records that cannot be pre-positioned, the DOR Chief Information Officer will ensure these materials are available during a continuity event.

Chief Information Officer responsibilities include the protection and ready availability of DOR's critical information systems and electronic records needed to continue performing essential functions across the all-hazards spectrum.

### **A. VITAL RECORDS/SYSTEMS**

To ensure continuous access to these vital files, records, and databases, DOR will utilize alternate data processing sites as backups for DOR key data systems and databases, specifically the OCIO identified critical information technology systems. The backups will allow the OCIO to restore the critical systems at alternate sites as the primary data systems in the event of a system interruption. The DOR Continuity Plan designates the following Department systems, listed in Tables H-1, H-2, and H-3, as critical. They are categorized into four reconstitution priorities: (1) network; (2) alerts and notification; (3) DOR essential applications; and; (4) critical support applications:

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**Table H-1: Critical DOR Systems**

Critical DOR Systems	Priority*
DOR Local Area Network	1
DOR E-mail Service	1
Emergency Notification System	2
DOR.gov	2
DOR Secure Local Area Network	3

*\*Reconstitution priorities: (1) network; (2) alerts and notification; (3) DOR mission critical applications; and (4) critical support applications.*

**Table H-2: Critical Non-DOR Systems**

Non - DOR Critical Systems	Priority*
E-Mail at Data Center 2	1
DOR Travel Manager	4
Time and Attendance Tracker	4

*\*Reconstitution priorities: (1) network; (2) alerts and notification; (3) DOR mission critical applications; and (4) critical support applications.*

**Table H-3: Critical Physical Security Systems**

Critical Physical Security Systems	Priority*
Velocity - Unclassified	4

*\*Reconstitution priorities: (1) network; (2) alerts and notification; (3) DOR mission critical applications; and (4) critical support applications.*

**B. VITAL RECORDS/FILES AND DATABASES**

The vital files, records, and databases supported by the systems described above include the following:

- A. **Emergency Operating Records.** DOR vital records and databases essential to the continued functioning or reconstitution of DOR during and after an emergency, including: emergency plans and directives, orders of succession, delegations of authority, staffing assignments, and related policy or procedural records that provide guidance and information resources necessary for conducting operations during any emergency, and for resuming formal operations at its conclusion.
- B. **Legal and Financial Rights Records.** DOR's vital records and databases are critical when carrying out DOR's essential legal and financial functions and activities, and in protecting the legal and financial rights of individuals directly affected by Department activities. This includes records having such value that their loss would significantly impair the conduct of DOR essential functions or become a detriment to the legal or financial rights or

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entitlements of the organization or of affected individuals. Examples of these records include accounts receivable, contracting and acquisition files, official personnel files, Social Security information, payroll, retirement, insurance, property management, and inventory records.

The vital records inventory accounts for the identification and protection of vital records, systems, and data management software and equipment necessary to perform essential functions and to reconstitute normal Department operations after the emergency.

The OCIO replicates the vital files instantaneously from the DOR primary facility to PGCC. No other back up is made of these files. Pre-positioned hard copy documents must be updated as necessary. DOR vital records inventory is found in Table H-4. Divisions are responsible for annually reviewing, rotating, or cycling their vital records so that the latest version will be available.

**Table H-4: DOR Vital Records Inventory**

Vital Records	Record Location			
	Electronic Copy on Server	Hard Copy	CD/Thumb Drive	Other
<b>Office of the Director</b>				
Orders of succession	X			X
Delegations of authority	X			X
Contact list	X			
<b>Chief Procurement Officer</b>				
CPO Operations Manual			X	
Project Files				X
Copies of contracts				X
<b>Planning Division</b>				
DOR Concept of Operations Plan				
DOR Continuity Plan	X	X	X	X
<b>Office of Chief Counsel</b>				
<b>Logistics Division</b>				
RRCC roster	X	X	X	
Standard operating procedures				
Quick Reference Guide	X	X	X	
DOR Response Plan	X	X	X	
<b>External Affairs</b>				
Phone lists				
Pre-scripted messaging				X

**C. VITAL RECORDS PLAN PACKET**

DOR has developed and maintained a vital records plan packet, including the following:

1. An electronic list of ERG staff with up-to-date telephone numbers;
2. A vital-records inventory with the precise locations of vital records;
3. Updates to the vital records;
4. Necessary keys or access codes;
5. Continuity facility locations;
6. Access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines);
7. Lists of records recovery experts and vendors; and,
8. A copy of the DOR Continuity Plan.

To ensure information is kept current, DOR reviews its vital records packet annually and documents the date and names of the review personnel in writing. The OCIO maintains the vital records plan packet and review materials.

**D. TEST, TRAINING, AND EXERCISES**

As part of its continuity TT&E program, DOR will conduct the following as it relates to vital records:

- Annually train all staff on the identification, protection, and ready availability of vital files, records, and systems;
- Annually train managers on the vital records program and its relationship to their vital records and business needs;
- Annually test capabilities for protecting vital records and for providing access to them from the alternate facility; and
- Annually test plans for recovering vital records, critical information systems, services, and data.

**ANNEX I: HUMAN CAPITAL**

**A. INTRODUCTION**

Proper management of human capital is a critical element of a viable DOR continuity program. Human resources policies, to include staffing, absences, leave, reimbursement, and hiring will be followed in accordance with DOR policies. Any questions should be directed to the Human Resources Liaison Officer, Office of the Chief Human Resources Officer.

DOR continuity planning and procedures must follow established protocols on dismissal, status and roles of non-emergency personnel, employee communications, pay and benefits, and staffing flexibilities. Additional guidance necessary to address specific continuity events will be provided by DOR management as part of the alert and notification process.

**B. HUMAN CAPITAL OFFICE RESPONSIBILITIES**

DOR is responsible for developing, updating, and implementing comprehensive plans that take into account and respond to the threats its employees are most likely to face during continuity of operations and other emergencies. These plans interact with and depend upon human capital management. DOR managers and ERG members must be familiar with the many human capital resources and flexibilities that exist to assist managers and employees in the event of a continuity activation, during implementation of the Occupant Emergency Plan, or in the case of dismissals or closures that would prevent DOR ERG and non-ERG personnel from reporting to work. All DOR elements will develop supporting programs within their respective organizations to support the guidance and procedures outlined in the DOR Continuity Plan.

**C. MANAGERS RESPONSIBILITIES**

DOR managers will be responsible for communicating information and instructions to their employees during continuity operations. Managers must:

1. Understand DOR's emergency plans, (continuity plans, pandemic plans, etc.) and management roles in executing the plan;
2. Implement telework to the greatest extent possible so systems are in place to support successful telework in an emergency;
3. Be fully informed and understand human capital tools, flexibilities, and strategies;
4. Review regularly and update human capital information and resources to assure that DOR's policies remain current and relevant. This includes human capital procedures, guidelines, and resources to ensure policies are current and relevant to the DOR Continuity Plan and Program;
5. Conduct regular exercises and simulations within their office;
6. Ensure ERG and non-ERG members have a clear understanding of what they are to do in an emergency;

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7. Ensure ERG and non-ERG members develop a Family Support Plan. To develop a Family Support Plan, use the templates available at [www.ready.gov](http://www.ready.gov). This site includes a "Get Ready Now" pamphlet which explains the importance of planning and provides a template that can be used to develop family specific plans;
8. Maintain specific protocols for designating and activating special needs employees with their office;
9. Develop, review, and update emergency guides as needed; and,
10. Establish and disseminate procedures annually to employees for dismissal or closure.

### **D. INSTRUCTIONS FOR NON-ERG PERSONNEL DURING CONTINUITY OPERATIONS**

Non-ERG members will receive human capital and other instructions from DOR leadership on alternate work locations and telework accommodations, as appropriate, upon notification of continuity plan activation.

During continuity operations, non-ERG personnel must be prepared for notifications to report to work at their normal worksite or at alternative worksites if the emergency continues. DOR leadership will provide the appropriate instructions to non-ERG personnel. Non-ERG personnel will also be instructed by DOR leadership on how, and the extent to which, employees are expected to remain in contact during any closure situation.

In the event an emergency prevents access to the DOR facility, non-ERG employees may be instructed by DOR division senior leadership not to report for work. If an employee is prevented from working because he or she has been instructed by his or her Department head or other authorized official not to report for work, the employee normally will be excused from work without loss of pay or charge to his or her leave.

### **E. SPECIAL NEEDS EMPLOYEES AND PERSONNEL WITH DISABILITIES**

DOR leadership will work with the Office of the Chief Human Resources Officer to ensure special needs employees and personnel with disabilities issues are addressed in continuity operations and during activation of the Occupant Emergency Plan. Procedures must follow the established government guidelines and directives.

## **F. HUMAN CAPITAL RESOURCES DURING CONTINUITY OPERATIONS**

DOR has implemented the following policies:

1. **Standby Duty:** When employees are required to maintain a state of readiness to perform work during an emergency, they may be entitled to overtime for standby duty. Usually, an employee is in a standby duty status if, for work-related reasons, the employee is restricted to DOR's work premises (or in close proximity so the employee's time may not be used effectively for his or her own purposes) and is required to maintain a state of readiness while performing work duties. Employees in standby duty status must coordinate with their DOR division senior leadership for guidance on DOR Human Resource procedures affecting their pay.
2. **Pay limitations:** If continued continuity operations affect bi-weekly or annual pay caps, DOR leadership must coordinate with DOR Human Resources Officer to address these limitations. DOR emergency employees and telework employees required to work during their regularly scheduled duty day when their office is closed (or when other employees are dismissed early) are not entitled to receive overtime pay, credit hours, or compensatory time off for performing work during their regularly scheduled hours.
3. **Benefits:** Continuity operations do not affect ERG and non-ERG employee retirement, health insurance, or life insurance benefits.

## **G. CHANGES IN DOR OPERATING STATUS**

Changes in the status of operations at the DOR facility following continuity activation will be provided through DOR leadership and on the DOR Continuity Hotline at (800) 000-0000.

## **H. ACCOUNTABILITY**

DOR must account for its personnel during any continuity situation.

- A. Each DOR division will outreach to all staff no later than 2 hours after arrival at the continuity facility. Divisions will e-mail an electronic copy of their division's accountability status to the Planning Division or hand carry a hard copy of the report to the lower level of Building 7811.
- B. Each DOR division will submit accountability reports thereafter at 3 p.m. If there are no significant updates to report, the division must state it in the next report submittal.

**I. GUIDANCE FOR SELECTING ERG MEMBERS**

DOR must identify who will perform essential functions during DOR Continuity Plan activation. The Director, DOR, selects ERG members. After the ERG members are selected, they will receive a Notification of Selection ERG Team Member Letter from the Director. Table I-1 provides criteria for ERG selection.

**Table I-1: ERG Member Selection Criteria**

<b>Emergency Relocation Group Member Selection Considerations</b>	
1.	Able to perform predetermined essential functions that must be performed, regardless of the operational status of the DOR primary operating facility.
2.	Knowledge and expertise in performing the essential functions.
3.	Ensure episodic telework agreement is in place.
4.	Possess the skills sets and training required to perform duties.
5.	Ability to report within the required time frame.
6.	Ability to handle stressful situations.
7.	Ability to work in a team environment.

Given the ERG member selection criteria, the Director, DOR, has determined the individuals filling the positions listed in Table I-2 will comprise the DOR ERG.

**Table I-2: DOR ERG Members**

<b>DOR Emergency Relocation Group Members</b>	
Director, DOR	Chief, Facility Operations
Deputy Director, DOR	Chief, Law Enforcement
Assistant Director, Planning	Chief, External Affairs
Assistant Director, Logistics	Chief, Finance
Chief Procurement Officer	Chief, Budget
Chief Information Officer	Chief, Response
Chief Counsel	Chief, Recovery
Manager, Information Technology	Manager, Operations Planning
Manager, Mitigation	Senior Policy Advisor

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**DATE**

MEMORANDUM FOR: *Selected ERG Member*  
*Title*  
*Division*

FROM: *Name*  
*Director*  
Department of Readiness (DOR)

SUBJECT: Notification of Selection of DOR Emergency Relocation Group  
Team Member

You have been designated as an “Emergency Relocation Group (ERG)” member for the DOR. The DOR ERG member consists of employees who are required to continue the DOR essential functions during an emergency. The ERG are vital to the DOR operations and required to continue the DOR essential functions during and after an emergency.

As a DOR ERG member, you will be notified for a continuity activation and deployment. When the DOR essential functions can no longer be performed at our normal facility due to a local, regional, or national emergency, and it becomes necessary to conduct operations at the continuity or alternate facility, the ERG will be activated and you will be deployed. As an ERG member, you must have an episodic Telework agreement, deploy as instructed, and be prepared to remain at the continuity or alternate facility for up to 30 days.

In the event of an emergency, regardless of weather conditions or any other public announcement of dismissal or suspension of activities, you must report for duty at the location that is pre-designated as the continuity or alternate facility, unless otherwise directed. If you cannot report for duty because your personal safety is in jeopardy, please contact your supervisor or me immediately so that alternatives can be considered.

The specific ERG member responsibilities are as follows:

- Be thoroughly familiar with the DOR Continuity Plan;
- Understand the essential function(s) to be performed during continuity operations and the location where the function(s) will be performed;
- Identify all personal and professional materials required to activate the Continuity Plan. To the maximum extent possible, pre-position these materials;
- Prepare a drive-away kit as needed that contains all personal and professional items not yet pre-positioned for activation;
- Participate in continuity Tests, Training, and Exercises;
- Be accessible 24-hours-per-day, 7 days per week (24/7) for potential notification of continuity activation and deployment;
- Make arrangements in advance to ensure that someone else will satisfactorily address personal and home responsibilities during a possible extended absence;
- Relocate, when notified, according to directions provided;

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- Report to the continuity facility and begin performing essential functions as required; and,
- Continue performing essential function(s) throughout the duration of the continuity activation and assist in the reconstitution process, if necessary.

The continuity facility is the Phillip Gordon Coriander Complex (PGCC) located in Anywhere, Anystate.

If you have any questions about continuity or your ERG responsibilities, please contact your supervisor.

You are required to acknowledge receipt of this memorandum by signing in the space provided below. Your signature also signifies you understand the ERG responsibilities and accept your assignment to the DOR ERG:

*ERG Member's Name:* \_\_\_\_\_ Date: \_\_\_\_\_

**ANNEX J: TEST, TRAINING, AND EXERCISE PROGRAM**

**A. INTRODUCTION**

DOR maintains a robust Test, Training, and Exercise (TT&E) program that complies with the National Exercise Program. The DOR TT&E program is an essential division of DOR's strategy to develop and maintain its continuity capability, plans, policies and procedures against all hazards. DOR's TT&E program represents a Department-wide effort to ensure personnel and their organizational elements have been trained and exercised at least annually, and that adequate resources are on hand in order to appropriately test, support, and validate continuity operations. In the absence of actual activations and deployments, TT&E events are the means by which DOR assesses the adequacy of policies and plans and the ability of the ERG to conduct effective operations at the continuity facility.

The Planning Division will review the DOR continuity program annually against the collective evaluation results from the preceding year's TT&E events. The TT&E program will be reviewed and modified annually if it is determined that its program goals are not being met or the needs of DOR, especially the ERG, are not being adequately addressed.

**B. DOCUMENTATION**

DOR formally documents and reports all conducted continuity TT&E events, including the event date and type, participant names, test results, feedback forms, participant questionnaires, and any other relevant event information. After each TT&E event, a comprehensive debriefing or hot wash is conducted which provides participants the opportunity to identify systemic weaknesses in plans and procedures and to recommend revisions to organization's continuity plan.

The Planning Division maintains all copies of TT&E documentation.

**C. TT&E REQUIREMENTS**

Specific continuity TT&E requirements are listed in Table J-1.

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**Table J-1: Continuity TT&E Requirements**

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	✓			
Test alert, notification, and activation procedures for all continuity personnel		✓		
Test primary and backup infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform essential functions			✓	
Test plans for recovering vital records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Train continuity personnel and other Department personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce				✓
Train leadership on essential functions			✓	
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct successor training			✓	
Train on the identification, protection, and ready availability of vital files, records, and systems.			✓	
Train on an organization's devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability and data backup procedures				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with Department devolution procedures				✓

**D. CORRECTIVE ACTION PROGRAM**

DOR has developed a Corrective Action Program (CAP) and Improvement Plan based on Homeland Security Exercise and Evaluation principles. The Planning Division maintains all CAP and Improvement Plan documents and follows up with appropriate divisions as required to develop the DOR continuity program.

The CAP serves as a central repository of information about the mission readiness of the various elements of the continuity program. The Planning Division collects successes, shortcomings, and lessons learned through various data collection methods at each TT&E event, documenting these in after-action reports.

A copy of the DOR CAP is found in Table J-2.

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**Table J-2: DOR Corrective Action Program**

Capability	Observation Title	Recommendation	Corrective Action Description	Primary Responsible Division	Start Date	Completion Date
Budgeting and Acquisition of Resources	The continuity program does not include continuity budgeting beyond the implementation phase.	DOR needs to identify and account for its continuity needs through a formal budget process and integrate the needs into the DOR budget process.	The DOR budget for the next fiscal year will include continuity as a line item.	Office of the Chief Procurement Officer	July 1	August 30
Budgeting and Acquisition of Resources	DOR does not address integrating a multiyear strategy program with the budget.	DOR needs to identify and account for its continuity needs through a formal budget process and integrate them into the DOR budget process and MYSPMP.	The Chief Procurement Officer, in coordination with the Planning Division, will complete and submit a MYSPMP.	Office of the Chief Procurement Officer Planning Division	April 15	August 30
Human Capital	DOR has not identified alternate ERG personnel in the event the primary ERG cannot relocate.	DOR needs to identify alternate ERG positions to backfill the primary ERG positions.	The DOR Office of the Director will identify alternate ERG member positions.	Office of the Director	January 1	February 28
Test, Training, and Exercise Program	The security staff did not relocate during the annual continuity relocation exercise.	DOR needs to conduct annual testing and exercising of its physical security capabilities at the continuity facility.	DOR will ensure that its security staff is part of the annual relocation exercise this year.	Facilities Operations Division	March 1	May 15

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<b>Capability</b>	<b>Observation Title</b>	<b>Recommendation</b>	<b>Corrective Action Description</b>	<b>Primary Responsible</b>		<b>Completion Date</b>
Devolution of Control and Direction	The plan identifies events that could trigger devolution, but does not mention how and what resources are needed to transfer essential functions.	DOR needs to coordinate further with its devolution counterpart on the necessary resources to transfer essential functions.	DOR will meet with its devolution counterpart and conduct a tabletop exercise to identify how and what resources are needed to transfer essential functions. The continuity plan will be updated based upon the results.	Planning Division  Devolution Counterpart	April 1	December 31
Reconstitution Operations	DOR's reconstitution procedures do not mention procedures to inform all personnel that the actual emergency no longer existed.	DOR should reference or develop procedures to inform all personnel that an emergency no longer exists.	DOR will develop procedures and include them in the review and update of the continuity plan.	Planning Division	November 1	January 15

## **ANNEX K: DEVOLUTION OF CONTROL AND DIRECTION**

### **A. INTRODUCTION**

This annex provides procedures, guidance, and organizational structure to ensure the continuation of DOR essential functions in the event that DOR is incapacitated and personnel are unavailable or incapable of deploying to the continuity site. In this situation, management, leadership responsibility, and essential functions will devolve to the designated devolution counterpart, the Southern Region.

A flexible and scalable response is required to address the spectrum of events that could disrupt operations at DOR. While the continuity plan addresses a wide variety of potentially disruptive scenarios, the devolution plan focuses on catastrophic events that may occur without warning and render DOR incapable of or unavailable to perform its essential functions.

### **B. DEVOLUTION ACTIVATION PROTOCOLS**

The DOR devolution plan may be activated 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 the devolution plan activation because of a deliberate decision by DOR authorities. The DOR Director will advise the devolution counterpart of the Region’s status and will activate the devolution plan and Devolution Emergency Response Group (DERG) to assume essential functions. The DERG is comprised of staff identified to perform essential functions at the devolution counterpart, the Southern Region.
- **Passive Measures:** Passive measures or “triggers” for activating the devolution plan occur when DOR leadership is not available or incapable of initiating devolution activation. In this situation, the devolution counterpart will activate the DERG to assume the DOR essential functions after notification of a significant emergency and attempting and unsuccessfully communicating with DOR leadership after two hours.

Upon activation of the DOR devolution plan, the devolution counterpart, the Southern Region office, will assume direction and control of DOR’s essential functions, and assume operational control of any remaining DOR staff. The devolution counterpart will continue to perform the DOR essential functions identified in this plan until DOR is reconstituted.

Orders of succession during devolution operations will follow the same line as in continuity operations. Once the devolution counterpart has assumed direction and control of DOR’s essential functions, the orders of succession at the devolution counterpart is in effect until DOR is reconstituted.

### **C. DEVOLUTION CONCEPT OF OPERATIONS**

DOR and the DERG will implement the DOR devolution plan that is modeled on the four phases of continuity:

**Phase I: Readiness and Preparedness.** The activities conducted during Phase I are carried out by the Planning Division and include the following:

- Updating and maintaining the devolution plan.
- Testing continuity systems and equipment.
- Training on continuity procedures, policies, and protocols.
- Exercising the devolution plan.
- Developing corrective action plans that aid in the updating and maintenance of the devolution plan.
- Conducting devolution exercises with the devolution counterpart.
- Phase I ends with an incident or a threat that triggers the activation of the DOR continuity or devolution plans.

### **Phase II: Activation and Transfer of Authority.**

**Alert and Notification:** This phase begins with the activation of the DOR devolution plan and the transfer of its mission, authority, responsibility, and essential functions to the devolution counterpart. This phase ends with the assumption of direction and control of DOR by the devolution counterpart, the Southern Region.

- If there is a threat to the mission at DOR, the DOR Director will activate the DERG to assume the affected DOR essential functions.
- If a no-notice catastrophic event occurs and DOR is incapable of performing their essential functions, the Director, Southern Region, may activate the DOR devolution plan and perform the essential functions on behalf of DOR.
- Accountability for DOR personnel is a responsibility for the devolution counterpart.
- DOR personnel should report their status and ability to support essential functions to the devolution counterpart at 1-800-000-0000.
- As appropriate, news media, external customers, vendors, and other service providers will be notified by an official spokesperson that DOR has temporarily devolved direction and control to the devolution counterpart.

## **FOR TRAINING PURPOSES ONLY**

Transition of Responsibilities to the Recipient Region DERG. Immediately following a devolution activation, the Southern Region DERG will:

- Assume all authority and responsibility for execution of DOR essential functions.
- Account for personnel and determine the status of their DOR counterparts. The DOR personnel that are still capable will report their status to the devolution counterpart at 1-800-000-0000.
- Establish a fully mission-capable presence capable of sustained operations on a 24 hours-per-day, 7 days-a-week basis.

### **Phase III: Devolution Operations.**

- The devolution counterpart will conduct the DOR essential functions. Prioritized essential functions are found in Annex A.
- DOR personnel who are able to support DOR operations and are able to telework from home or another location should report their ability/status to support their essential functions to the devolution counterpart.
- Devolution operations continue until emergency operations can be terminated.

**Phase IV: Reconstitution.** Within 24 hours of the devolution counterpart's assumption of DOR essential functions, the Southern Region Planning Division will initiate and coordinate operations to assess, salvage, restore, and recover the DOR building and assets after receiving recommendations and/or approval from the appropriate local and Federal law enforcement and emergency services.

Operations will reconstitute back to normal when the DOR Director or designee determines that the reconstituted DOR is capable of conducting its essential functions. Once the appropriate DOR representative has made this determination, one or both of the following options may be implemented, depending on the situation:

1. Begin an orderly return to the DOR building and reconstitute DOR; or
2. Begin to establish a reconstituted DOR in some other facility or location.

### **D. SUPPORT REQUIREMENTS**

The Office of the Chief Information Officer provides overall guidance and oversight for the protection of vital records to support the performance of DOR essential functions under any emergency or potential emergency. The list of vital records the devolution counterpart may need is found in Annex H.

Without appropriate planning, vital records maintained at DOR may not be available to the the devolution counterpart. DOR will ensure all databases and other reference material supporting essential functions are updated, as needed. DOR will make these databases and other supporting materials available to the Southern Region, and the OCIO will administer access rights for the devolution counterpart.

**ANNEX L: RECONSTITUTION OPERATION PROCEDURES**

**A. KEY ACTIVITIES TO SUPPORT RECONSTITUTION**

Reconstitution focuses on the effective transition and phase-down of continuity operations at the continuity facility or devolution site and transfer of essential functions, personnel, records, and equipment back to the DOR primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.

Reconstitution operations begin when the DOR Director or successor activates the Continuity Plan. The DOR Logistics Division Assistant Director serves as the DOR Reconstitution Manager, who has ultimate responsibility for the planning and executing reconstitution operations in coordination and collaboration with the Reconstitution Planning Team.

Within 24 hours of an emergency relocation, the DOR Reconstitution Team will initiate and coordinate operations to salvage, restore, and recover the DOR facility after receiving approval from the appropriate local and Federal law enforcement and DOR emergency services.

The Reconstitution Manager will develop plans and schedules for the orderly transition of all DOR functions, personnel, equipment, and records from the continuity facility or devolution site to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility. Activities associated with planning for reconstitution include:

- A. Develop space allocation and facility requirements;
- B. Coordinate to obtain office space for reconstitution if the DOR building is not habitable;
- C. Develop a time-phased plan, listing functions and projects in order of priority for resuming normal operations;
- D. Develop procedures, as necessary, for restructuring the staff;
- E. Communications/Information Technology;
- F. Records Management;
- G. Security; and
- H. Finance.

The Reconstitution Team will support development of processes and procedures to resume DOR operations at the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility. The team is comprised of DOR subject matter experts, as appropriate. See Table L-1 for the Reconstitution Checklist.

## **FOR TRAINING PURPOSES ONLY**

Depending upon where the DOR resumes normal operations, division reconstitution activities will include:

- A. Follow an executable plan from the Logistics Division to transition from continuity operations to an efficient normal operations status once a threat or disruption is over or contained.
- B. Coordinate options for reconstitution regardless of the level of disruption. These options will include movement from the continuity facility or devolution site using a phased approach, if required, to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.
- C. Outline procedures for a smooth transition from a continuity facility or devolution site to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.

When the DOR Director or other authorized person determine that the emergency has ended and unlikely to reoccur, the Reconstitution Manager in coordination with other authorities, will implement one or a combination of the following options, depending on the event:

- A. Continue to operate from the continuity facility;
- B. Reconstitute DOR and begin an orderly return to the DOR building; or,
- C. Begin to establish a reconstituted DOR in some other facility.

### **B. THREAT ASSESSMENT**

An updated crime report and threat assessment must be obtained from Federal and local law enforcement agencies to support reconstitution operations. The crime report and threat assessment should address the following questions:

- A. Is there a continuing threat to, or near, the original facility or planned new site?
- B. Do intelligence reports provide information on current terrorist threats to the area?
- C. What is the natural disaster situation?

### **C. SAFETY INSPECTION**

Determining whether the original facility is safe for occupancy is critical to the reconstitution effort. Water and air quality must be part of this inspection, as well as the facility's structural integrity. The following questions should be considered:

- A. Is the entire original facility structurally sound?
- B. Can portions of the facility be reoccupied?
- C. Is a facility readily available or is there an alternative facility available that qualifies according to guidelines and requirements?
- D. How soon can DOR acquire a new facility?

**D. ACQUISITION OF NEW FACILITY**

If the original facility will not support a return to normal operations, a new operating facility will be obtained. In this situation, the Logistics Division must coordinate the space and resource requirements with the Planning Division.

**E. LEGAL ISSUES**

Statutes can affect the selection and acquisition of new sites when the originating site is destroyed. Safety and quality of life issues may also affect reconstitution operations from a legal perspective. The following legal considerations should be addressed:

- A. What are the legal issues associated with disability access, fire safety, and air quality?
- B. What, if any, waivers are applicable to this emergency and what is the length of time the waivers will be required?
- C. Is DOR required to have employees sign release forms to return to the original facility when it has suffered damage but can be reoccupied?

**F. SPACE REQUIREMENTS**

The following are considerations regarding space requirements:

- A. Have space requirements been identified?
- B. Will a facility that can be partially occupied or a newly identified facility meet the space requirements of DOR?
- C. Are multiple facilities needed on a temporary basis?

**G. RESOURCE REQUIREMENTS**

The following are considerations regarding resource requirements:

- A. Can resources damaged by the disruption be salvaged and/or refurbished?
- B. What testing is required to verify operability of resources?
- C. What resources can be shared among/between organizations?
- D. What immediate and long-term equipment acquisitions will be required to expedite the DOR's return to normal operations?
- E. What communications and data links need to be acquired?

**H. AFTER-ACTION REVIEW**

An After-Action Review of the entire process leading up to and including the activation and execution of the DOR Continuity Plan allows the organization to identify and correct deficiencies and improve the DOR Continuity Plan.

DOR, led by the Planning Division, will conduct an After-Action Review once it is back in the normal operating facility or established in a new primary operating facility.

**FOR TRAINING PURPOSES ONLY**

The Reconstitution Checklist provided in Tables L-1 and L-2 describes specific procedures to be followed during reconstitution operations.

**Table L-1: Reconstitution Checklist**

<b>DOR - Reconstitution Procedures Checklist</b>	
<b>Procedures</b>	
<b>Reconstitution Manager</b>	The Logistics Division Assistant Director will serve as the Reconstitution Manager and oversee all phases of the reconstitution process.
<b>Status of Normal Operating Facilities</b>	Verify operational capability, including safety and threat assessments, of normal operating facilities or a newly established site.
<b>Equipment</b>	Restore equipment at normal operating facilities or newly established site.
<b>Vital Files, Records, and Databases</b>	Verify access to and transfer vital files, records, and databases to the normal operating facilities or to a newly established site.
<b>Communications</b>	Ensure communication systems are operational at normal operating facilities or a newly established site.
<b>Personnel</b>	Inform all personnel that the threat of or actual emergency no longer exists. Provide instructions for resumption of normal operations. Using a phased approach, transfer personnel from the continuity facility to normal operating facilities or a newly established site.
<b>Oversight and Support</b>	In coordination with PGCC staff, oversee and support the orderly transition of all functions, personnel, equipment, and records from the PGCC, Building 7811, to a new or restored facility.
<b>Status</b>	Inform the DOR Director on the status of the reconstitution effort.

<b>DOR- Deactivation of Alternate Facility</b>	
<b>Procedures</b>	
<b>Equipment</b>	Shutdown operations and properly store equipment.
<b>Vital Files, Records, and Databases</b>	Return pre-positioned vital files, records, and databases to storage locations.
<b>Communications</b>	Shutdown and store communication systems as appropriate.
<b>PGCC Personnel</b>	Notify PGCC personnel of the intention to cease DOR Continuity Plan activation.

<b>DOR- After-Action Events</b>	
<b>Procedures</b>	
<b>After-Action</b>	Conduct a "lessons learned" review of continuity operations and the effectiveness of plans and procedures to identify areas needing correction. Include these in the CAP.
<b>Update Plans and Procedures</b>	Develop remedial action plans and update continuity documents and ERG rosters as necessary.

**Table L-2: Reconstitution Preparedness Activities and Actions**

**DOR - Reconstitution Preparedness Checklist**

**PLANS AND PROCEDURES**

1. Conduct a building assessment.
2. Identify location of classified materials.
3. Identify location of vital records storage areas.
4. Develop/review/update equipment recovery and salvage plan/checklist.
5. Develop/review/update information and instructions to organization personnel on when and how to resume normal operations.
6. Develop/ update procedures on how to account for organization personnel.
7. Develop/review/update Reconstitution Manager and Reconstitution Team contact information.
8. Develop/review/update a contact list for key personnel internal and external to DOR.
9. Develop/review/update procedures for supervising an orderly move to the primary operating facility.
10. Develop/review/update procedures for resuming operations at the primary operating facility.
11. Develop/review/update procedures to verify all systems, communications, and required capabilities are available and operational.
12. Develop/review/update reporting and communications requirements operating procedures.
13. Develop/review/update guidance for conducting the after action review and developing the after action report/improvement plan.
14. Establish and document/review/update a process for assessing the status of primary operating facility.
15. Establish and document/review/update space requirements for reconstitution.
16. Establish and document /review/update a priority-based phased approach to reconstitution.
17. Develop/review/update vital records list.
18. Establish/review/update memorandums of understand/memorandums of agreement.
19. Develop/review/update DOR Space Portfolio.

**PERSONNEL/STAFF**

1. Identify a Reconstitution Manager.
2. Identify Reconstitution Team members.
3. Develop/review/update Reconstitution Team Training and Exercise schedule.
4. Conduct Reconstitution Team Training and Exercises.

**ANNEX M: ACRONYMS**

CAP	Corrective Action Program
DERG	Devolution Emergency Response Group
DOR	Department of Readiness
ERG	Emergency Relocation Group
OCIO	Office of the Chief Information Officer
OPM	Office of Personnel Management
PGCC	Phillip Gordon Coriander Complex
TT&E	Test, Training, and Exercise