Devolution Plan/Annex Template and Instructions (August 2019)

[Organization Name]

[Month Day, Year]

[Organization Name]

[Street Address]

[City, State Zip Code]

[Organization Symbol/Logo]

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Template Instructions

This template is based on the updated Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, January 17, 2017 and the *Continuity Guidance Circular*, February 2018, and provides structure and recommended content for developing a devolution plan or annex. Devolution is the transfer of statutory authority and responsibilities from an organization's primary operating staff and facilities to another designated staff and facility for the sustainment of essential functions. Use of this updated template may be helpful to Federal departments and agencies, in meeting the new requirements in FCD1, and may be of assistance as guidance to state, local, territorial, and tribal (SLTT) governments but use of this template is not mandatory. This updated template was produced as an example document by National Continuity Programs staff as a tool to be used in continuity program development as organizations see fit. Organizations are encouraged to tailor their devolution plan or annex to meet their specific devolution planning and operational needs.

*Instructions have been provided throughout the template in italicized text. Bolded, bracketed place-holders **[Like this],** are used throughout the template where organization-specific information is needed in sample text. The sample text is meant to guide the organization's planners but is not intended as a definitive solution to any one organization's devolution planning needs. It is recommended that the organization's planning process include a review of any directives, regulations, or other legal requirements that apply to continuity and their organization. Once organization-specific information is entered in the template, this page, and then the italicized instructions and the word "template" throughout the document should be deleted.*

This template is unclassified in its current form. When the template is completed each organization should classify the document to meet its internal security program requirements. Organizations should consider their plan as For Official Use Only (FOUO) if it contains sensitive but unclassified information.

An electronic version of this document and copies of the continuity references listed above are available on the FEMA website (see https://www.fema.gov/continuity-resource-toolkit).

Questions or comments concerning this template can be directed to:

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FOREWORD

The foreword provides a high-level introduction to devolution as a strategy in the organization's continuity program and establishes the rationale for creating the devolution plan/annex. It should include the signature of the organization director or other senior official as a means of demonstrating that the plan/annex is valid and approved. Sample text is provided below. However, organizations should tailor the Foreword to meet their specific organization's devolution requirements and continuity program needs.

The **[Organization Name]** mission is **[Insert Organization's Mission]**. To accomplish its mission, the **[Organization Name]** must ensure that operations continue during any emergency, with minimal disruption to essential functions. The **[Organization Name]** Continuity of Operations (COOP) Plan provides direction and guidance to ensure its ability to carry out its essential functions under all threats and conditions. The COOP Plan is implemented in four phases—Phase I: Readiness and Preparedness, Phase II: Activation and Relocation, Phase III: Continuity Operations, and Phase IV: Reconstitution. Throughout those four phases the consideration, preparation, and execution of the continuity capability elements defined in Federal Continuity Directive 1 (FCD1) and provided as strategies and options in the Continuity Guidance Circular (CGC) are fundamental to a successful continuity program.

This Devolution **[Plan/Annex]** is a companion document to the **[Organization Name]** COOP Plan and focuses on the implementation of devolution as a strategy by which to continue essential functions. This **[Plan/Annex]** designates **[Devolution Partner Name]** as the devolution partner and provides guidance and direction for **[Devolution Partner Name]** personnel to continue **[Organization Name]** operations from a devolution facility once a determination has been made that devolution operations are to be initiated.

Organizations should list applicable laws, regulations, directives and guidance that their plan or annex has been created in accordance with. For example, Federal Executive Branch Departments and Agencies would list FCD 1 while a state agency may reference the Continuity Guidance Circular CGC as well as Governor's mandates or state laws.

This **[Plan/Annex]** has been developed in accordance with Presidential Policy Directive 40 (PPD 40), *National Continuity Policy*, July 15, 2016*;* Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, January 17, 2017; *Continuity Guidance Circular (CGC)*, February 2018; and other related directives and guidance.

[Signature goes here] _____

[Organization Head Name]

[Organization Head Title]

[Organization Name]

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CHAPTER 1 - SITUATION

This chapter should briefly discuss how the organization supports its designated role or the mission of its parent organization and that a continuation of the accomplishment of organizational essential functions under any circumstance is needed to ensure there is no disruption in provided service. Sample text for this chapter includes:

The **[Organization Name]** Devolution **[Plan/Annex]** is a companion document to the **[Organization Name]** Continuity of Operations (COOP) Plan and focuses on continuing organization operations through the transfer of statutory authority and responsibilities from an organization's primary operating staff and facilities to another designated staff and facility following an actual or anticipated continuity event that causes an organization to lose access to its normal and continuity personnel and/or its normal or alternate facilities.

1-1. THREATS AND HAZARDS THAT COULD LEAD TO DEVOLUTION OF OPERATIONS

This section associates threat condition levels such as the National Terrorism Advisory System (NTAS) or other local area advisories with the organization's Business Impact Analysis (BIA) and operational conditions. Possible organization responses, including those that may lead to devolution should be addressed here. Sample text for this section includes:

The **[Organization Name]** continuity plan and devolution capability are influenced by risk assessments that consider threat capabilities and likelihoods of impact on **[Organization Name]** operations. Threat and warning systems, which include the Continuity of Government Conditions (COGCON), for Federal Executive Branch Departments and Agencies (D/As) in the National Capital Region (NCR), the DHS National Terrorism Advisory System (NTAS), National Weather Service (NWS) Weather Advisory, Watch, and Warning messages, and state and local law enforcement bulletins provide information that is an important piece of any decision to activate the **[Organization Name]** Devolution Plan.

[List any organizational threat and warning systems here].

[Organization Name] has established internal plans and procedures for executing changes based on the receipt of direction, guidance, or information regarding imminent threat or elevated threat. **[Organization Name]** has identified the following activities to undertake for each identified warning system. Table 1 illustrates the relationship of devolution of operations planning to the threat alerts.

Table 1: Example Advisory System Alerts and Potential Responses

Threat Alert	Threat Condition Criteria	Organization Potential Response
Imminent Threat Alert	Warns of credible, specific, and impending terrorist threat against the United States.	Convene leadership meeting to consider activation of the **[Organization Name]** Devolution Plan. Notify the **[Organization Name]** Devolution Emergency Response Group (DERG) to deploy if required.
Elevated Threat Alert	Warns of credible non-specific terrorist threat against the United States.	The **[Organization Name]** reviews Devolution Plan and procedures. The **[Organization Name]** places DERG on alert.
Weather Status Report Warning	A warning is issued when a hazardous weather or hydrologic event is occurring, is imminent, or has a very high probability of occurring. A warning is used for conditions posing a threat to life or property.	Convene leadership meeting to consider activation of the **[Organization Name]** Devolution Plan. Notify the **[Organization Name]** DERG to deploy if required.
Weather Status Report Watch	A watch is used when the risk of a hazardous weather or hydrologic event has increased significantly, but its occurrence, location, and/or timing is still uncertain. It is intended to provide enough lead time so that those who need to set their plans in motion can do so.	The **[Organization Name]** reviews Devolution Plan and procedures. The **[Organization Name]** places DERG on alert.

1-2. Devolution of Operations Activation Conditions

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

This **[Plan/Annex]** applies to all of the **[Organization Name]**'s senior leadership and staff. It addresses processes, procedures, activities, actions, operations, and resources necessary to ensure the effective transition from continuity or devolution operations back to normal operations.

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

Active Triggers

Discuss here the concept of how the organization would devolve when there is time to coordinate the transfer of authorities and responsibilities from an organization's primary personnel and facilities to another designated staff. In this scenario, the devolving organization can communicate with their devolution partner and DERG as the devolution event unfolds to actively ensure an orderly transition. Additional details can be found in Chapter 3 of this plan.

If an event that could hinder the organization from accomplishing its essential functions at primary and or alternate facilities is anticipated to occur, known as an active trigger event, the following actions will be carried out:

- An incident with notice is anticipated and the **[Organization Name]** head or successor in consultation with their devolution partner's leadership makes a deliberate decision to activate the devolution plan.

Passive Triggers

Discuss here the concept of how the organization would devolve when there is no time or ability to conduct the transfer of authorities and responsibilities from an organization's primary personnel and facilities to another designated staff. In this scenario, the devolving organization cannot communicate or coordinate with their devolution partner and DERG during the devolution event. All coordination is done in planning before the event, including the devolution partner knowing when in the absence of communication to activate the devolution plan to ensure an orderly transition. Additional details can be found in Chapter 3 of this plan.

If an incident that could prevent the organization from accomplishing its essential functions at primary and or alternate facilities occurs without warning, known as a passive trigger event, the following actions will be carried out:

- No notice incident occurs, and the **[Organization Name]** head and successors are unreachable, the DERG Director in consultation with **[Devolution Partner]** leadership will activate the devolution plan.

1-3. Devolution Coordination Responsibilities

The Devolution Working Group (DWG) and the Devolution Emergency Response Group (DERG) are the two major groups involved in devolution planning and execution. This section identifies and defines the organization and responsibilities of the DWG and DERG and follows the concept that an organization has the planning responsibility to create a "partnership" with their devolution counterparts. This partnership ensures devolution sites have the requisite personnel, equipment, and facilities to execute essential functions. Sample text for this section includes:

Devolution, as it is a transfer of **[Organization Name]** authorities and responsibilities in a potentially high stress environment which may also have limited to no advance notification of plan activation, requires a great deal of pre-coordination.

Key coordination activities include:

- Establishing a framework within the **[Organization Name]** to facilitate preparations for, and the implementation of, devolution operations;
- Assigning and clarifying devolution responsibilities within **[Organization Name]**;

- Summarizing the **[Organization Name]**'s concept for devolution from preparedness activities to after action processes;
- Appointing a Devolution Manager;
- Forming and staffing a DERG to include appointments and training;
- Appointing a DERG Director;
- Developing/maintaining devolution plans, procedures, and checklists;
- Negotiating agreements with partners and service providers as appropriate; and
- Ensuring the availability of essential records, communications, and systems/equipment required to successfully devolve operations.

Devolution Roles

This section should identify the parties who will play a role in one or more of these coordination areas. Some organizations may have directive, regulatory, or legal considerations to consider in assigning devolution responsibilities. In larger organizations, one person may fill one of these roles as a sole job responsibility. Within smaller organizations it is possible one person may fulfill multiple roles. Sample text for this section includes:

Continuity Coordinator: The senior **[Organization Name]** official responsible for coordinating with leadership to ensure the organization maintains a viable and effective continuity capability. The Continuity Coordinator represents the organization and works with internal organization components and external partners and stakeholders to complete the essential function, Mission Essential Function (MEF), and or Primary Mission Essential Function (PMEF) identification process as applicable, and advocates for the continuity program within the organization. The Continuity Coordinator is also responsible for working with the **[Organization Name]** devolution partner ensuring that operational requirements are addressed in the creation of a viable devolution capability.

Devolution Manager: The Devolution Manager serves the devolving organization as the primary point of contact (POC) for devolution readiness and preparedness activities and resource requirements. The Devolution Manager chairs the DWG and may help facilitate the activation of the organization devolution plan and the transfer of authority and responsibility for the devolving organization's essential functions.

DERG Director: The DERG Director serves as the devolution partner primary point of contact (POC) for DERG and devolution site readiness and preparedness, administering support to the organization to ensure that leadership and personnel are properly trained, and facilities properly equipped to execute devolution plans with little or no notice. Additionally, the DERG Director exercises operational control of the DERG and provides guidance until designated senior leadership arrives.

Devolution Points of Contact: Designated personnel with specific subject matter expertise from across the spectrum of the organization's functions who assist with coordinating the provision of information required in creating and executing the organization's devolution plan.

DERG: People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important and is especially true in a crisis. Leaders are needed to set priorities and keep focus. During a devolution event, **[Devolution Partner]** personnel appointed to the DERG perform assigned duties in support of the continuance of essential functions. Chapter 4 of this plan discusses the creation of the DERG in depth.

DWG: The DWG is a planning, organizing, and coordination body comprised of **[Organization Name]** and **[Devolution Partner]** offices, divisions, regional, and subcomponent Devolution POCs, who ensure the resources and authorities necessary to carry out essential functions are in place at devolution sites. Chapter 4 of this plan discusses the creation of the DWG in depth.

CHAPTER 2 - MISSION

This chapter of the devolution plan should explain the importance of devolution planning to the organization and why the organization is developing a devolution plan. The plan may also discuss the background for continuity planning by referencing recent events that have led to the increased emphasis on the importance of a devolution capability for the organization. Sample text for this chapter includes:

2-1. ASSUMPTION OF ESSENTIAL FUNCTIONS AND MISSION

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

Upon activation of the **[Organization Name]** Devolution Plan, the DERG will immediately assume the **[Organization Name]** mission and essential functions. Representatives from other organizations, or designated successors, who normally co-locate with **[Organization Name]** during emergencies and provide support will, if available, co-locate with the DERG at devolution sites.

2-2. ESSENTIAL FUNCTION OVERVIEW

This section should include a brief outline list of the organization's prioritized essential functions and if applicable, Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEF). The section should also identify the prioritization guidance of the devolving organization regarding essential function accomplishment as well as any guidance regarding the delay, deferment, or suspension of organizational activities. Detailed information is found within the plan's annexes. Sample text for this section includes:

The DERG will perform the **[Organization Name]** mission and the essential functions listed below until the primary operating facility is reconstituted and can resume its mission.

- **Essential Function 1:**
- **Essential Function 2:**
- **Essential Function 3:**

See Annex B for all **[Organization Name]** essential function justifications.

2-3. OBJECTIVES

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

1. Ensure the organization can perform essential functions under all conditions;
2. Execute a successful order of succession, accompanied by the appropriate position-related authorities, in the event the disruption renders leadership unable to assume and perform their authorities and responsibilities;
3. The DERG should have the capability to perform essential functions as soon as possible and sustain operations until such time an orderly return of authority and responsibility can occur *(Note: For federal executive branch departments and agencies the requirement is that essential functions are able to be performed not later than 12 hours after devolution plan activation and*

must be able to sustain operations for a minimum of 30 days or until normal operations are resumed) and;

4. Achieve timely and orderly return of authority and responsibility or the successful recovery and reconstitution of the organization from an event requiring devolution.

2-4. Planning Assumptions

This section should familiarize the readers with the underlying planning assumptions made during the organization's devolution planning process. Assumptions are critical pieces of information that the planning team assumes to be facts for planning purposes to make it possible to execute the devolution plan. During operations, the assumptions indicate areas where adjustments to the plan must be made as the facts of the incident become known. Assumptions also provide an opportunity to communicate the intent of senior officials regarding emergency operations priorities. An assumption could include devolution as a primary option for continuing operations. Sample text for this section includes:

This devolution plan is based on the following assumptions:

- **[Organization Name]** management responsibilities and essential functions cannot be conducted from the primary operating facility or alternate locations which are staffed by ERG personnel;
- **[Organization Name]** personnel are unavailable or incapable of staffing the primary or alternate organization location.
- The **[Organization Name]** orders of succession will survive the devolution event intact enough to allow for an orderly and effective transition of authorities and responsibilities.
- The facilities at the devolution sites and DERG personnel are unaffected by the event which caused the activation of the devolution plan and have been resourced to assume responsibility for the essential functions of **[Organization Name]** until a reconstituted **[Organization Name]** can resume such responsibilities.
- Delegations of authority provisions are in place to ensure the rapid and efficient transfer of legal and fiscal authorities.
- Significant changes to the **[Organization Name]**'s statutory authority and/or responsibilities will necessitate a revision of this plan.

CHAPTER 3 - EXECUTION

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

3-1. INTENT

This section acts as a basis for organization personnel to develop their own plans and orders to transform thought into action, while maintaining the overall intention of organizational leadership regarding devolution. Intent links the mission and concept of operations. It describes the end state and key tasks that, along with the mission, are the basis for initiative.

The purpose of the **[Organization Name]** devolution plan is to ensure the continued performance of essential functions under all emergency conditions. The changing threat environment and emergencies, such as acts of nature, accidents, technological incidents, military, and terrorist actions, have increased the importance of having continuity programs that ensure continuity of operations throughout the whole community.

This plan provides procedures, guidance, and the organizational framework to ensure the continuation of **[Organization Name]'s** essential functions if the **[Organization Name]** located in **[Primary Location]** is degraded and personnel are unable to deploy to the **[Organization Name]'s** alternate location in **[Alternate Location]**. This plan will identify triggers for activating devolution and specify how and when essential functions are transferred. This plan is activated when the **[Organization Name]** primary or alternate location, staff, or both are not available thus requiring the transfer of essential functions to the **[Organization Name]** devolution partner.

3-2. CONCEPT OF OPERATIONS

This section should summarize the organization's concept for devolution from preparedness activities to after action processes. Organizations should consult any regulations, directives, and laws concerning their requirements when developing their devolution concept of operations. Sample text for the introduction includes:

The devolution plan is a contingency plan in the event **[Organization Name]** cannot ensure the continuation of essential functions from the primary or alternate operating facilities. While the COOP Plan provides instructions for relocating **[Organization Name]** key leaders and support staff to the alternate facility, the devolution plan transfers authority responsibility for conducting essential functions to the devolution partner, **[Organization Name]** in **[Location]**.

The devolution plan considers temporary (interim) and full devolution options. The interim devolution allows the **[Organization Name]** ERG time to relocate from the primary operating location to the alternate location. Full devolution occurs when the DERG is prepared to operate for at least 30 days or as required until **[Organization Name]** resumes responsibility for the performance of essential functions. Individuals should not, whenever possible, serve simultaneously as a member of the **[Organization Name]** DERG and **[Organization Name]** ERG to avoid the possibility of having to serve in both roles if both groups are activated at the same time.

3-3. Phase I: Readiness and Preparedness

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

The primary focus during this phase is to ensure the readiness of senior leadership and staff (DWG and DERG), to conduct devolution operations. Phase I ends with an incident or threat that triggers the activation of the devolution plan.

Readiness and Preparedness Responsibilities

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

For a successful devolution capability, close coordination and planning is required between **[Organization Name]** and the **[Devolution Partner]**. The DWG is the conduit for this coordination.

- The Devolution Manager chairs the DWG meetings.
- The DWG will meet [Frequency of Meeting].
- The devolution plan should be reviewed annually at a minimum and updated as required.

Orders of Succession

Orders of Succession require careful planning to ensure leadership sustainability during devolution. Enter a brief description or reference the location of the organization's order of succession information. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

In the event of the inability to perform the functions and duties of the position, the Director, **[Organization Name]**, has delegated to the **[Positions in the Order of Succession]** those functions and duties, subject to any conditions or restrictions set forth in the **[Applicable Delegation of Authority regulation for the organization]**.

[Insert office/title] is responsible for ensuring orders of succession are up-to-date, and copies can be found at **[insert location(s)]**. When changes occur, they will be distributed to **[insert offices/groups]**.

The following key leadership positions are covered by **[Organization Name]** orders of succession.

- Director
- Deputy Director
- Add Title Here
- Add Title Here
- Etc.

Detailed information on **[Organization Name]** orders of succession can be found in Annex C of this plan.

When the primary holder of one of these positions, or their acting successor, becomes unreachable or incapable of performing their duties, the **[insert office/title]** will notify the next successor in line through **[describe process here]** and inform other internal and external stakeholders of the substitution.

Out of area successors may be an option. If so, sample text might read:

[Organization Name] includes in the orders of succession at least one individual who is geographically dispersed from the organization head and other individuals within the order of succession for the position of **[Organization Name Head]**. The **[Organization Name Title]** is responsible for tracking this out of area successor and coordinating their location and contact information with the DERG Director.

Delegations of Authority

This section should describe briefly, or reference by location, where the organization's delegations of authority can be found, by position, and the legal authority for individuals to make key policy decisions during devolution, particularly those specific to the devolution site. The organization's delegation of authority should outline explicitly the authority of an official so designated to exercise organization direction. Detailed information is found within the plan's annexes. Sample text for this section includes:

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

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

Detailed information on **[Organization Name]** delegations of authority can be found in Annex D of this plan.

Organizational and Individual Readiness and Preparedness Activities

This section should describe briefly or reference the organization's training philosophy and requirements. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

[Organization Name] participates in the full spectrum of readiness and preparedness activities to ensure its devolution plan is viable. **[Organization Name]** readiness and preparedness activities are divided into two key areas:

Organizational Readiness and Preparedness

[Organization Name] preparedness incorporates several key components;

- Identification of appropriate warning and situational awareness building information sources.
- Regular reviews of plans, policies, and other documents that govern the organization's statutory requirements and identification of any gaps in the organization's ability to meet those requirements.
- Schedule of test, training and exercise activities designed to test the organization's continuity capability in general and specifically the ability to devolve authority and responsibility and testing of resilient communications capabilities at the devolution site.

- **[List organizational specific readiness and preparedness activities.]**

Individual Readiness and Preparedness

[Organization Name] individual preparedness incorporates several key components;

- Notification via memorandum or other official organizational method of the rostering of an individual as a member of a continuity team.
- Maintenance of Alert Notification roster contact information.
- Record of required individual continuity and job performance training for organizational personnel.
- **[List organizational specific individual readiness and preparedness activities.]**

[Organization Name] personnel should plan what to do in an emergency and should develop a Family Support Plan to increase personal and family preparedness. To develop a Family Support Plan, consider using the templates available at www.ready.gov. If assistance in creating a family support plan is needed, contact **[Insert office, position title, and contact information]**.

A Phase I, Readiness and Preparedness Checklist, can be found in Annex J of this plan.

3-4. Phase II: Activation and Transfer of Authority

This section focuses on activating and transferring authority to the DERG. It includes actions the DERG will take when activated for an event with or without warning. This section also includes a sub-section on transferring responsibilities once the DERG activates. Upon activation of the devolution plan, other organizations and stakeholders should be notified of the change in operational control of the organization's essential functions. Sample text for this section includes:

This phase begins with the activation of the **[Organization Name]** Devolution of Operations Plan and the transfer of its authority and responsibility for accomplishing its essential functions to **[Devolution Partner Name]**. This phase ends with the assumption of control and direction of **[Organization Name]** essential functions by the organization's devolution partner, **[Devolution Partner Name]**.

Activation Decision Making

If an incident is likely to occur, which is considered an active trigger event, the following actions will occur:

- The Director, **[Organization Name]**, or designated successor, will notify their devolution partner's leadership of the need to activate the devolution plan.
- The DERG Director working with the Devolution Manager and in coordination with the leadership of the **[Organization Name]** and **[Devolution Partner Name]** will initiate the emergency notification system.
- DERG members will report as directed to the devolution site.
- The DERG Director will ensure that any higher level of organizational or jurisdictional leadership is notified as required and will submit status reports, as necessary.
- The DERG Director will ensure that notification is made to partners and stakeholders that an emergency devolution of **[Organization Name]** is anticipated or is in progress.

If an incident occurs without warning, a passive trigger event, the following actions will occur:

- The DERG Director in coordination with **[Devolution Partner Name]** leadership will make the decision to activate the devolution plan.
- DERG members will report as directed to the devolution site.
- The DERG Director will ensure that any higher level of organizational or jurisdictional leadership is notified as required and will submit status reports as necessary,.
- The DERG Director will ensure that notification is made to partners and stakeholders that an emergency devolution of **[Organization Name]** is in progress.

Alert and Notification

This section covers the process and organizational personnel messaging associated with the activation of the devolution plan. Sample text for this section includes:

The DERG Director is responsible for activating the DERG and providing direction to DERG personnel regarding reporting to the devolution site for duty. This notification will occur via the use of **[Emergency Notification System Name]**. Messaging will include specific direction regarding report time, and any special requirements that DERG members will need to meet that are not specifically covered in this plan. Non-DERG personnel will be informed as soon as operationally possible to inform them of the situation and provide them with instructions on handling questions from the media, partners, and stakeholders. Instructions on how to access and use the **[Emergency Notification System Name]** can be found in **[Location].** At a minimum, the contact information in the **[Emergency Notification System Name]** will be updated and tested **[Frequency of Testing]**.

If **[Emergency Notification System Name]** is not accessible, a back-up method of notification will occur. The **[Organization Name]** will use **[back-up method, such as a telephone tree roster]**. Leaders and managers, after making their calls, will report back up the tree to indicate that all personnel have been contacted and that personnel contacted either acknowledged the communication, or a message was left. Attempts will continue, and success rate status reported **[Insert Timing Requirement]** as required until all personnel have acknowledged the communication or their status as unavailable has been verified.

Alert and Notification Messages

The following preformatted messages serve as examples to save time during a devolution activation. They are not all inclusive but serve as examples. Organizations will need to adjust the message based on the emergency, the notification system, and the receiving device.

> **Email Example**: This is an emergency notification. The **[Organization Name]** Devolution Emergency Response Group personnel are to report to the devolution site as of **[Applicable Time]** on **[Applicable Date]**. All other employees are advised to report to work as usual. Contact your supervisor if you have specific questions regarding your work status. Go to **[Organization Website etc.]** for more information and updates on this incident.
>
> **Voice Example**: This is an emergency notification. The **[Organization Name]** Devolution Emergency Response Group personnel are to report to the devolution site as of **[Applicable Time]** on **[Applicable Date]**. All other employees are advised to report to work as usual. Contact your supervisor if you have specific questions regarding your work status. Go to **[Organization Website etc.]** for more information and updates on this incident.

Transitioning to the DERG

This section covers the transference of responsibilities once the DERG activates. Upon activation of the devolution plan, other organizations and stakeholders should be notified of the change in operational control of your organization's essential functions. Sample text for this section includes:

Immediately following devolution plan activation, the DERG will:

- Assume all authority and responsibility for execution of the **[Organization Name]** mission and essential functions.
- Execute notification plans.
- The DERG Director will ensure that any remaining notifications of all **[Organization Name]** regional offices, other federal, state, territorial, tribal, or local organizations, and national leadership or [other organizations] as appropriate is completed.
- As appropriate, an official **[DERG or Devolution Partner Name]** spokesperson will notify the news media, outside customers, vendors, and other service providers, that **[Organization Name]** has temporarily devolved operational control of essential functions to its devolution site.
- Conduct an initial briefing or status meeting or call to affirm that the DERG is ready to execute essential functions, to identify and assign responsibility for filling in any situational information gaps, and to set or adjust initial guidance to the DERG (See Annex E for additional guidance on Status Call Scripts).
- Prepare to receive representatives from other federal or state, territorial, tribal, or local organizations as required.
- **[Additional transition procedures.]**

Transfer of Authority Checklists

Checklists may be for individual positions e.g., DERG Director, DERG member, or may apply to a specific sub-phase, activity, or topic.

- *Insert points of contact, coordination needs, and documentation requirements here.*
- *Checklists by name can be found in Annex J of this plan.*

3-5. Phase III: Devolution Operations

This section provides details covering how the DERG will operate and how the DERG Director will confirm that the transfer of authorities has been successful. Organizations must review applicable directives, regulations, or other legal requirements that set time requirements for when the organization's essential functions must be able to be accomplished and for how long they must be able to be sustained in devolution conditions. Sample text for this section includes:

Upon activation of the plan, the DERG will assume direction and control of; **[Organization Name]** essential functions and assume operational control of any **[Organization Name]** remaining staff within **[Time Frame]** of the activation of the **[Organization Name]** devolution plan. The DERG will continue to perform the **[Organization Name]** essential functions identified in this plan until **[Organization Name]** is reconstituted, or until otherwise directed by a legally appointed authority.

Accountability:

- The DERG Director supported by **[DERG Section]** will account for DERG and **[Devolved Organization Name]** personnel.

Site Occupation and Set Up:

- ***[Insert points of contact, site occupation requirements, and set up activities here.]***
- *Checklists by name can be found in Annex I of this plan.*

Operational Activities:

- ***[Insert tracking criteria associated with reaching 100% DERG functionality.]***
- ***[Insert known briefings, meetings, calls and reports associated with devolution activities here.]***
- *Checklists by name can be found in Annex I of this plan.*

Position Guides and Checklists:

- ***[Insert position guide creation documentation and maintenance requirements here.]***
- *Checklists by name can be found in Annex J of this plan.*

3-6. Phase IV: Reconstitution

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

Within 24 hours of the DERG's assumption of the **[Organization Name]** statutory authority and essential functions, the following individuals or their devolution successors shall initiate and coordinate operations to assess, salvage, restore, and recover the **[Organization Name]** primary operating facility after receiving recommendations and/or approval from the appropriate law enforcement and emergency services:

- Reconstitution Manager;
- Reconstitution Implementation Team members;
- Essential Records Manager; and
- **[Others as appropriate.]**

Decision to Reconstitute

This section should address the activities and actions leading to a leadership decision to begin reconstitution operations. Sample text for this section includes:

Reconstitution procedures will commence when the Director, **[Organization Name],** or designated successor, ascertains that the emergency has ended and is unlikely to recur.

Reconstitution Operations

This section should describe the process of transitioning from devolution operations to normal operations. The main objectives of this sub-phase are to transfer essential functions back to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility and to resume non-essential, discontinued functions. Sample text for this section is provided below. However, organizations should tailor this section to meet their specific reconstitution planning and operational needs. Sample text for this section includes:

Once the appropriate **[Organization Name]** representative has made this determination in coordination with other appropriate authorities, the following steps may be implemented, depending on the situation:

- Assess damage to primary facility;
- Submit reconstitution status reports as directed;
- Work with the **[Agency or Office that acquires real estate or rental space for the organization]** to repair or obtain new facility;
- Build an interim employee schedule;
- Prepare an Implementation Reconstitution Plan and secure leadership approval;
- Continue to operate from the devolution site;
- Determine and submit the needs for equipment, furniture, and supplies at the reconstituted facility;
- Develop and implement a plan to recover lost or damaged essential records;
- Identify, replace, and train new personnel as required;
- Prepare for an orderly return to the **[Organization Name]** primary operating facility and reconstitute **[Organization Name]**; or
- Begin to establish a reconstituted **[Organization Name]** in another facility in the **[affected location],** a temporary facility**,** or other designated permanent location;
- The **[Organization Name]** will provide a reconstitution status report when the return to normal operations of **[Organization Name]** is in progress or complete.

To the greatest extent possible, the reconstitution effort will be accomplished in accordance with the **[Organization Name]** Reconstitution Plan.

Reconstitution Checklists

- *Insert points of contact, reconstitution activities, and documentation requirements here.*
- *Checklists by name can be found in Annex J of this plan.*

3-7. Resuming Normal Operations

This section should describe the process to be used to validate the successful completion of reconstitution operations. Sample text for this section includes:

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

The Reconstitution Manager will coordinate with the leadership of **[Organization Name]** to ensure that all problems and issues are identified, documented, and handed off to the appropriate part of the organization for resolution.

3-8. After-Action Activities

This section should describe the organizational intent of reviewing and evaluating operations after the devolution event is over and the organization has transitioned back to normal operations. Activities and actions focus on identifying lessons learned, best practices, and improvement needs and documenting those findings in an after-action report. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

While collecting feedback data throughout the length of the devolution event, the **[Organization Name]** implements formal after-action activities after the devolution event is over and reconstitution largely complete. Activities include reviewing and evaluating the devolution implementation process, seeking consolidated feedback from participants, developing an After-Action Report/ Improvement Plan (AAR/IP) for the purposes of summarizing the devolution event, identifying opportunities to improve and enhance the organization's devolution capability and overall continuity program, plans, and capabilities; and developing an approach to implement improvements.

CHAPTER 4 - SUPPORT REQUIREMENTS

This chapter contains brief descriptions of support and resources required to accomplish the devolving organization's essential functions, and the devolution partner's personnel or offices, as appropriate, which will provide staff augmentation in support of the DERG. This section should also address stakeholder and partner information. Detailed support requirements are found within the plan's annexes and appendices. Sample text for this chapter includes:

4-1. BUDGETING AND ACQUISITION

This section should identify the requirements necessary for the successful implementation and management of an organization's devolution program. In addition, the organization must establish and maintain reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

[Organization Name] budgets for and acquires those capabilities essential to devolution. A copy of the continuity budget, which identifies funding for devolution, is found **[Location]**. The **[Office/Title]** is responsible for acquiring resources during a devolution situation. **[Organization Name]** has established and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods during a devolution activation. Those processes and procedures are found **[Location]** and maintained by **[Office/Title]**.

A list of those resources the organization has identified as necessary to facilitate the immediate and seamless transfer of essential functions to the devolution site and the continued performance of these essential functions at the devolution site can be found in Annex G.

[Organization Name] integrates the continuity and devolution budget with its multi-year strategic plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multi-year plan is found **[location]**.

4-2. HUMAN RESOURCES

During devolution, a challenge faced by organizations assuming the authority and responsibility for a devolving organization is identifying enough personnel to assume the essential functions of the devolving organization and maintain their own essential function accomplishment. Additionally, if devolution occurs due to a natural or manmade disaster the devolving organization's personnel will need to be accounted for. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

The **[Organization Name]** devolution program, plans, and procedures incorporate existing organization-specific guidance and direction for human resources management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibility. The **[Office/Title]** has the responsibility for **[Organization Name]** human resources issues. A copy of these policies and guidance is found **[Location]**.

Procedures for Coverage During Devolution:

- **[Organization Name]** personnel comprise the DERG;
- DERG members will report as directed to the Devolution site;

- The DERG Director will consider operational tempo and in consultation with organizational leadership determine the need for extended hours or shift work as required;
- During DERG activation, the DERG Director in coordination with organization leadership, will determine if any remaining **[Organization Name]** personnel will temporarily relocate to the devolution site. The **[Organization Name]** has determined the means of funding travel and other costs associated with any such relocations using **[name of the funding source or sources (e.g., an open surge account)]**;
- Following activation and deployment of the DERG, the DERG Director, in coordination with organization leadership, may request additional personnel from other **[Organization Name]** offices for augmentation and shift relief at the devolution site.

Designation of DERG Personnel:

During a devolution event, emergency employees and other special categories of employees may be activated by **[Organization Name]** to perform assigned devolution duties. One of these categories is the DERG members.

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

- Identified and designated those positions and personnel they judge to be critical to organization operations in a devolution scenario as DERG members. A roster of these positions (including names, home, work, and cell telephone numbers) is maintained by **[Office/Title]** and is found in Annex H;
- Officially informed all DERG personnel of their roles or designations by providing documentation in the form of **[Type of documentation]** to ensure that DERG personnel know and accept their roles and responsibilities. Copies of this documentation are maintained by **[Office/Title]** and are found at **[Location];**
- Ensured DERG personnel participate in their organization's continuity Test, Training, and Exercise (TT&E) program, as reflected in training records. Training records are maintained by **[Office/Title]** and are found at **[Location];**
- Provided guidance to DERG personnel on individual preparedness measures they should take to ensure response to a devolution event using **[Method of providing guidance]**. Copies of this guidance are maintained by **[office/title]** and are found at **[location];**
- If bargaining unit employees are included as DERG members, **[Organization Name]** has ensured that all applicable collective bargaining obligations have been satisfied.

Devolution Working Group

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

The DWG is a standing committee that will meet on a **[Time period]** basis to address coordination issues and support needs for Devolution counterpart organizations. The DWG is comprised of **[Organization Name]** offices, divisions, regional, and subcomponent Devolution POCs who ensure the resources and authorities necessary to carry out the essential functions are in place at devolution sites.

The DWG responsibilities include identifying corresponding organizations and individuals for the **[Organization Name]** offices and divisions, furnishing critical equipment and materials necessary for devolution and evaluating and training devolution counterparts to conduct the **[Organization Name]** mission and essential functions.

All Staff

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

- **[Organization Name]** employees have received guidance on how to prepare, plan for, and stay informed during an emergency, including developing Family Emergency Plans.
- **[Organization Name]** has implemented a process to contact and account for all staff, including contractors, in the event of an emergency.
- **[Organization Name]** employees are expected to remain in contact with **[office/title, such as supervisors]** during any emergency.
- **[Organization Name]** ensures all staff is aware of and familiar with Human Resources guidance during an emergency, to include pay, leave, staffing, flexibility, and other human resources' responsibilities.
- **[Organization Name]** uses **[List Methods]** to increase employee situational awareness and convey instructions.

4-3. Essential Records Management

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

The **[Organization Name] [Office/Title]**, in coordination with the **[Appropriate Agency/Organization/Program that provides records guidance]**, provides overall guidance and oversight for the protection and recovery of essential records to support the performance of **[Organization Name]** essential functions under any emergency or potential emergency. These tasks will be coordinated by the **[Organization Name]** Essential Records Manager. Categories of these types of essential records and databases may include emergency operating records and legal and financial rights records. Each office/division within the organization holds overall responsibility for updating essential records and databases and for sharing all essential records and databases with their devolution counterparts. See Annex F of this plan for the essential records and databases specific to each office and division.

Pre-Positioned Information

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

4-4. SECURITY

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

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

Specific site security requirements can be found in Annex G, Devolution Facilities and Logistics.

CHAPTER 5 - LEADERSHIP AND COMMUNICATIONS

5-1. ORGANIZATIONAL LEADERSHIP

The organization should consider the unique coordination challenges associated with devolution and ensure that leadership concerns are identified and addressed within the plan. Temporary (interim) or partial devolution may be an option in an organization executing its continuity plan. Sample text for this section includes:

If the **[Organization Name]** COOP Plan is activated, the **[Organization Name Head]** may choose, based on the scenario, to coordinate an interim or partial devolution option with devolution partner organizational leadership, the DERG Director and organization successors while **[Organization Name]** key leaders are en route to the **[Organization Name]** COOP site or temporarily unavailable. In this scenario, a decision is made to temporarily activate the DERG to ensure performance of essential functions while ERG personnel are in transit or preparing the alternate facility for operations. When the ERG indicates to the DERG that they are functionally able to execute organizational essential functions, authority and responsibility for organizational activities will be handed back to the ERG and the devolution event will be concluded.

5-2. COMMUNICATIONS

Continuity communications include not only primary, but resilient systems as well, that will ensure the organization can successfully devolve operations and that DERG can successfully perform the mission and essential functions. This section emphasizes these points and provides the Annex that contains specific telecommunications and information systems items needed at devolution sites. Detailed information is found within the plan's annexes and appendices. Sample text for this section includes:

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

The **[Organization Name]** offices and divisions will fully coordinate all telecommunications and information support requirements with the **[Organizational appropriate office/individual]**. All offices and divisions will maintain and update all phone books, rosters, points of contact information, computer software, and databases required to carry out essential functions at devolution sites.

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

Annex A. AUTHORITIES AND REFERENCES

This annex should include the various documents that apply to the organization's mission, continuity program, and devolution plan. Include any documents that formally establish the key programs for your organization. Sample text for this section includes:

Authorities

- *The National Security Act of 1947*, 50 U.S.C. 401, as amended.
- *The Homeland Security Act of 2002*, PL 107-296, enacted November 25, 2002.
- *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (42 U.S.C. 5121, et seq.).
- Executive Order 12148, *Federal Emergency Management*, July 20, 1979, as amended.
- Presidential Policy Directive (PPD) 40, *National Continuity Policy. National Response Framework*, January 2008.
- Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, 2017.
- Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, 2017.
- **[Add additional authorities.]**

References

- *Comprehensive Preparedness Guide 101: Developing and Maintaining Emergency Operations Plans*, Version 2.0, November 2010.
- *Continuity Guidance Circular*, February 2018.
- Title 44, CFR Part 2, Subpart A – *Organization, Functions, and Delegations of Authority*, October 1, 2005.
- Title 41, CFR 102-74.230 through 74.260, *Occupant Emergency Program*, revised July 1, 2005.
- Title 36, CFR Part 1223, *Management of Vital Records*, revised July 1, 2005.
- Essential Records Guide (August 2018).
- **[Organization Name]** *Continuity of Operations Plan*, **[approval date]**.
- **[Organization Name]** *Reconstitution Plan*, **[approval date]**.
- **[Add additional references.]**

Annex B. Essential Functions

This annex should identify in detail the essential functions, to include National Essential Functions (NEFs), Primary Mission Essential Functions (PMEFs), and Mission Essential Functions (MEFs) for federal departments and agencies, that the organization is responsible for, as well as required linkages with partners and stakeholders. Additionally, key points from the devolving organization's Business Process Analysis (BPA) and Business Impact Analysis (BIA) should be listed here as background for the devolution partner's use. Sample text includes:

Essential Functions

Table B.1 [Office/Division Name]

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

Business Impact and Business Process Analysis Information

[Organization Name] has conducted and documented a risk assessment of all essential functions by BIA for all threats and hazards, and all capabilities associated with the continuance of essential functions. A copy of this document can be found at **[Location]**.

[Organization Name] has conducted and documented how all organizational essential functions are accomplished by completing a BPA. A copy of this document can be found at **[Location]**.

Annex C. ORDERS OF SUCCESSION

This annex should contain organizational information to officially document the authorities needed to assume identified positions and list successors by position who may be called upon to assume those roles. This is a requirement for federal executive branch departments and agencies and a good business practice for all others. Organizations should consult their regulations, directives, and applicable legal requirements when creating this annex. Sample text for this section includes:

Orders of succession are provisions for the assumption of leadership positions, heads of organizational offices, and key staff positions during an emergency. They define the legal order in which personnel assume positions of higher authority. If an office or position holder is unable to fulfill their essential duties, successors are identified to ensure there is no lapse in decision making authority.

The **[Organization Name]** has:

- Established an order of succession for the head of the organization;
- Established orders of succession for other key leadership positions;
- Identified any limitation of authority based on delegations of authority to other individuals;
- Described the orders of succession by positions or titles rather than by the names of individuals;
- Included the orders of succession in the essential records of the organization;
- Included at least three successors in each order of succession;
- Included at least one out of area successor in orders of succession;
- Revised orders of succession as necessary and distributed revised copies promptly as changes occur;
- Established the rules and procedures for the designated personnel to follow when addressing the issues of succession to key positions during an emergency;
- Included in the succession procedures: 1) the conditions under which succession will take place; 2) the method of notification; and 3) the method of relief from authority and any temporal, geographical, or organizational limitations of authorities;
- Provided briefings to designated successors to the position of organization head, when named, on their responsibilities as successors and on any provision for their relocation; and,
- Conducted annual refresher briefings for the designated successors.

Successor Organizational Charts/ Lists

Table C.1 [Organization Title]

Position	Designated Successors
Title, Organization Name	**1.** Title, Department/ Office Name
	2.
	3.
Title, Organization Name	**1.** Title, Department/ Office Name
	2.
	3.

Letters of Designation

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. A copy of these documents can be found at **[Location]**.

Successor Guides

Successors will instruct those designated under this instruction to exercise the powers and duties annually, specifically the emergency duties they are expected to perform if succession occurs. 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.

Annex D. DELEGATIONS OF AUTHORITY

This annex should cover explicitly the authority of officials who are so designated to exercise organization direction and continue essential functions. This is a requirement for federal executive branch departments and agencies and a good business practice for all others. Organizations should consult their regulations, directives, and applicable legal requirements when creating this annex. Sample text for this section includes:

Delegations of authority identify, by position, the legal authority for individuals to make key policy decisions during devolution, particularly those specific to the devolution site.

The below items should be included in any **[Organization Name]** delegations of authority:

- The legal authority for officials, including those below agency head, to make key policy decisions during emergency operations;
- The programs and administrative authorities required for effective essential function operations at all organizational levels;
- The necessary authorities where essential functions may be involved, including delineation of the limits of authority and accountability;
- A statement that explicitly outlines the authority of an official to whom authority has been delegated to exercise organizational direction (including any exceptions) and their authority to re-delegate functions and activities as appropriate;
- A list of circumstances that would implement or activate the delegated authorities, and the justifications for the delegated authorities to terminate; and,
- The requirement that officials who may be expected to assume authorities in an emergency receive annual training on how to carry out their emergency duties.

Delegation of Authority Memorandums

These Memorandums can be found at **[Location]**.

Legal Documents or References

Cite any organizational references here.

Annex E. COMMUNICATION AND INFORMATION SYSTEMS

This annex should detail the organization's identified telecommunications and information support requirements. Sample text for this section includes:

Communications

Communications are essential to any emergency response operation. During continuity events, the ability to communicate is critical in coordinating actions which accomplish essential functions and maintain contact with employees, other agencies or organizations, and the public.

Communications can be divided into two groups, secure and non-secure, each comprised of three categories:

- Electronic communication (Internet, E-mail, smartphone);
- Telephone-based communication (fax, landline phone, cell); and,
- Non-telephonic verbal communication (satellite phone, two-way radio).

This annex describes communication procedures that **[Organization Name]** will use in a devolution event.

[Organization Name] must ensure that any unique or critical information system requirements and capabilities needed for the Devolution Emergency Response Group (DERG) to perform essential functions are identified and are available and accessible to its devolution counterpart.

All required communications and information systems needed to perform essential functions can be found in the **[Organization Name]** Business Process Analysis (BPA).

- **[Organization Name]** will work with the Devolution Working Group (DWG) to acquire continuity communications capabilities to support devolution responsibilities.
- **[Organization Name]** will ensure the DERG can access these systems and are trained on their use, and the systems are regularly tested.
- *The organization should identify any unique or critical information system requirements and determine the capabilities their DERG counterparts will need to be able to perform their essential functions. Those requirements should be listed in this annex.*
- *The organization should identify security requirements for secure systems if applicable. Unclassified requirements should be listed in this annex.*

Table E-1: [Organization Name] Continuity Communications Systems Required in Devolution

Voice	Radio	Data
● Public Switch Telephone Network ● Cellular Phone ● **[Organization Name]** Switched Network ● National Alert and Warning System ● **[System Name]** Alert and Warning System ● Unique or Critical Information System Requirements	● FEMA National Radio System ● Microwave ● Satellite	● **[Organization Name]** Data Network ● Virtual Private Network ● Local Area Network)/Wide Area Network Connectivity ● Homeland Security Information Network/Common Operating Picture

Points of Contact

To facilitate **[Organization Name]** essential functions, the following organizational, stakeholder, and partner points of contact have been identified.

Table E-2: Key Contacts

Key Contacts	Email Address	Phone Number
Primary		
Alternate		
Devolved		

Information Systems

In general, the telecommunications and information systems support provided at **[Organization Name]'s** primary operating facility is also available at the devolution site. At a minimum, all systems will meet **[Organization Name]** baseline software requirements. It is imperative that **[Organization Name]** departments and offices ensure unique or critical information system needs are considered in planning and identified as capabilities to be provided to the DWG as requirements.

All **[Organization Name]** departments and offices will maintain and update all necessary files, documents, computer software, and databases required to carry out essential functions and coordinate access through the DWG to the Devolution Manager, DERG Director, and DERG.

Status Call Scripts

This section involves the recommended devolution status call and subsequent calls referenced on page 3-14, Transitioning to the DERG. Items for the call include the telephone number, who determines the time of each call, how that decision gets out to the group members, and the recommended script for call participants to follow. Sample text for this section includes:

The time of the call depends on the time of the decision to devolve the mission and essential functions of **[Organization Name]**. Upon activation, the Devolution Director will determine the time of the DERG Initial Status Call based on the ongoing situation and activities and inform the **[Organizational appropriate office/individual]**, who will include the call time, conference telephone number, and Personal Identification Number (PIN) in the alert and notification message.

If the normal **[Organization Name]** conference line system is not available, the **[Organization Name alternate system name]** will be used. Once an alternate method or system is identified, the **[Organizational appropriate office/individual]** will provide the new conference line number and PIN to the Devolution Director. The Devolution Director will determine the time for this call and will include the call time and call details in [Organization Name] notification messaging.

The **[Organization Name]** DERG Initial Status Call and subsequent DERG Status Calls may cover the following items:

- Roll Call of all participants, by office and division;
- Situation update from the Devolution Director, or designee, to include why **[Organization Name]** devolved and the current situation in **[affected location]**;
- Status report, including operational capability, from each office and division;
- Identifying and addressing any issues requiring follow-up actions; and,
- The Devolution Director, or designee, will announce any specific instructions for the day and the time and date for the next DERG Status Call.

Example scripts for delivering status reports during DERG call:

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

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

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

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

Annex F. Essential Records Management

This annex details the organization's identified essential records support requirements. Sample text for this section includes:

Sharing essential records and databases between devolution counterparts is key to the success of devolution overall. This section identifies those with responsibilities for overseeing essential records for **[Organization Name].**

- The **[Office/Title]** provides overall guidance and oversight for the protection of essential records.
- Each **[Organization Name] [Office/Title]** holds overall responsibility for updating their essential records and databases and for including these in their respective essential records folders.
- The Essential Records Manager has the responsibility for coordinating the recovery of damaged essential records across the organization.
- Electronic essential records information is located on the **[Organization Name] [Naming Convention/ IP Address]** server. For server access contact **[Organization Name] Office/Title]** for access instructions.
- The **[Organization Name] [Office/Title]** will keep all databases and other reference material supporting the organization's essential functions updated and will make these databases and other supporting materials available to the DERG.

The table below provides the vital files, records, and databases that have been identified and protected:

Table F-1: Essential Records

Essential File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Storage Location(s)	Access Requirements
Emergency Plans and Supplements			
Personnel Records			

Annex G. DEVOLUTION FACILITIES AND LOGISTICS

This annex details the location, contact, and leadership information for each devolution site. Include maps that will provide visual location information of the devolution site. However, avoid providing any classified location information for the sites. Sample text for this annex includes:

Devolution Site Information

[Office Name]

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

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

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

Equipment and Materials

*Lists of required resources and supplies should be included here. These items may be found as part of an organization's Business Process Analysis (BPA) and that information may be consolidated here, or a reference inserted to where the **[Organization Name]** BPA may be found.*

Annex H. HUMAN RESOURCES

This annex focuses on the organization continuity personnel and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on three areas: devolution personnel, all staff, and human resources considerations. Sample text for this annex includes:

Devolution Personnel

During a devolution event, emergency employees and other special categories of employees will be activated by **[Organization Name]** to perform assigned duties. In a devolution scenario, they are referred to as the Devolution Emergency Response Group (DERG).

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

Identified and designated those positions and personnel they judge to be critical to devolution operations as devolution personnel. A roster of these positions is maintained by **[Office/Title]** and is found at **[Location]**.

Officially informed all devolution personnel of their roles or designations by providing documentation in the form of **[Insert type of documentation here]** to ensure that devolution personnel know and accept their roles and responsibilities. Copies of this documentation is maintained by **[Office/Title]** and found at **[Location]**.

Ensured devolution personnel participate in their organization's continuity Test, Training, and Exercise (TT&E) program, as reflected in training records. Training records are maintained by **[Office/Title]** and found at **[Location]**.

Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event using **[Insert methods of providing guidance here]**. Copies of this guidance is maintained by **[Office/Title]** and found at **[Location]**.

Last Update	# Of Primary DERG Members	Primary or Alternate Member	DERG Point of Contact			Building	Floor/ Room #	Seat #	Phone Number	Essential Functions
mm/dd/yyyy	**12**		**Office/Administration/Directorate**							
		P	Last Name	First Name	Middle			n/a		1 to 2
			Primary Phone#		Alternate Phone#		Primary Email		Alternate Email	
		A	Last Name	First Name	Middle			n/a		1 to 2
			Primary Phone#		Alternate Phone#		Primary Email		Alternate Email	

Table H-1: DERG Roster

All Staff

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

[Organization Name] employees are expected to remain in contact with **[Office/Title]** during any closure or relocation situation. **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**

[Organization Name] ensures staff is aware of and familiar with human resource guidance to continue essential functions during an emergency. **[Organization Name]** uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing]**

Accounting for all personnel during a devolution event is a critical activity. To account for all staff, **[Organization Name]** will **[Insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]**. Accountability information is reported to **[Office/Title]** at **[Insert number]** daily by **[Insert Time]**. **[Office/Title]** has the responsibility of attempting contact with those individuals who are unaccounted for until all personnel are accounted for or other direction is received from leadership.

An event that requires the activation of the devolution plan may personally affect **[Organization Name]** staff. Therefore, the **[Office/Title]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special human capital concerns following an incident. These provisions and procedures are found at **[Insert Location]**.

Human Resource Considerations

The **[Organization Name]** devolution program, plans, and procedures incorporate existing organization-specific guidance and direction for human capital management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibility. The **[Office/Title]** has the responsibility for **[Organization Name]** human resource issues. A copy of these policies and guidance is found at **[Location]**.

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

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

- Additional Staffing: **[Insert guidance here or location of guidance]**
- Work Schedules and Leave: **[Insert guidance here or location of guidance]**
- Employee Assistance Program: **[Insert guidance here or location of guidance]**
- Special Needs Employees: **[Insert guidance here or location of guidance]**

- Telework: **[Insert guidance here or location of guidance]**
- Benefits: **[Insert guidance here or location of guidance]**
- Premium and Annual Pay Limitations: **[Insert guidance here or location of guidance]**
- **[Insert additional topics here]**

Further, **[insert office/title]** communicates human resources guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, flexibility, and other human resources responsibilities) to managers to ensure the continuation of essential functions during an emergency. The process for communicating this information is as follows: **[Insert communication methods and processes here]**.

Annex I. TEST, TRAINING, AND EXERCISE

This annex identifies the various test, training, and exercise (TT&E) activities necessary to successfully execute the organization's devolution plan. Organizations should consult their regulations, directives, and applicable legal requirements when creating this annex to determine the subject, type, and frequency of TT&E events. Sample text for this section includes:

The following actions ensure that all **[Organization Name]** personnel are trained **[Frequency]** and are ready and able to execute the devolution plan:

Test

- **[Time Schedule]** testing of the **[Organization Name]** active and passive devolution plan activation procedures;
- **[Time Schedule]** testing of the capabilities for protecting essential records and information systems (both classified and unclassified) and for providing access to them from devolution sites;
- **[Time Schedule]** testing of primary and backup infrastructure systems and services, such as power, water, and fuel, at devolution sites;
- **[Time Schedule]** testing and exercising of required physical security capabilities at devolution sites;
- **[Time Schedule]** testing of the internal and external interoperability and viability of communications equipment and systems at devolution sites.

Training

- **[Time Schedule]** devolution briefing to all **[Organization Name]** leadership, Emergency Relocation Group (ERG), and Devolution Emergency Response Group (DERG) personnel involved in devolution planning and operations by the **[name of responsible office/division]**;
- **[Time Schedule]** training for DERG members on their respective devolution responsibilities and the requirements necessary to attain full operational capability;
- **[Time Schedule]** training for DERG members on the capabilities of communications and IT systems to be used during a devolution event;
- **[Time Schedule]** training for DERG members regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a devolution activation;
- **[Time Schedule]** training for DERG Staff who are expected to telework during a devolution activation regarding conducting essential functions from a telework site. Training must include accessing and using records, communications, and systems;
- **[Time Schedule]** training for DERG personnel designated within the orders of succession for organization head or other key positions who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a devolution activation;

- **[Time Schedule]** training for those officials listed within the delegations of authority on all pre-delegated authorities for making policy determinations and other decisions at the headquarters, regional, field, and other organizational levels, as appropriate.

Exercise

- **[Time Schedule]** exercising of the **[Organization Name]** Devolution Plan to address how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of an incident from devolution sites;

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

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

Annex J. CHECKLISTS

Checklists assist in the efficient and successful execution of operations during stressful events. The checklists in this annex are offered as an example of the potential checklists an organization may develop. They are not intended as a definitive answer as to what checklists should be developed or to inhibit the creation of checklists not listed here. Sample text for this section includes:

Table J.1: Phase I Activities

Phase I: Readiness and Preparedness
❑ Identify a Devolution Manager, Devolution Emergency Response Group (DERG) Director, DERG, and Devolution Working Group (DWG). ❑ Develop/revise devolution plans, procedures, and checklists for all devolution operations (including accounting for personnel; coordinating with partner agencies; and transitioning from continuity operations to normal operations). ❑ Develop/revise orders of succession and delegations of authority (see Annex C, Orders of Succession and Annex D, Delegations of Authority). ❑ Conduct planning and information sharing meetings. ❑ Develop and maintain a devolution essential records list (see Annex F, Essential Records). ❑ Develop and maintain an internal/external contact list for key personnel. ❑ Develop/assess Memoranda of Understanding/Memoranda of Agreement (MOUs/MOAs). ❑ Develop and conduct devolution tests, training, and exercises (see Annex I Test, Training, and Exercise [TT&E]). ❑ Test continuity systems and equipment (see Annex E, Communications and Information Systems, or Annex J, TT&E). ❑ Develop corrective action plans that aid in the updating and maintenance of the devolution plan.

Table J.2: Phase II Activities

Phase II: Activation and Transfer of Authority
❑ Activation of plans. ❑ Notify, relocate, and account for personnel. ❑ Determine internal and external messaging. ❑ Transition of responsibilities to the devolution counterpart. ❑ Review essential function priorities.

Table J.3: Phase III Activities

Phase III: Devolution Operations
❑ DERG Director and DERG conduct initial status meeting. ❑ **[Organization Head]** in coordination with the DERG Director provides guidance and oversight over devolution operations, including prioritizing essential functions. ❑ DERG establishes communications with supporting and supported agencies, customers, and stakeholders. ❑ DERG assumes responsibility for the performance of essential functions.

Table J.4: Reconstitution Activities

Phase IV: Reconstitution
❑ Develop and secure leadership approval for a Reconstitution Implementation Plan to transfer all functions, personnel, equipment, essential records, etc. from the devolution/continuity facility back to the normal operating facility, a temporary operating facility, or a new permanent operating facility. See Section 3.6 for additional details. ❑ Provide reconstitution status reports as directed. ❑ Supervise the repair/construction process and notify senior leadership and staff on the status of repairs/construction, including estimates of when the repairs/construction will be complete. ❑ Conduct facility safety inspections, including internal/external environmental health surveys. ❑ Ensure the operational readiness of key functions such as safety and security of employees, communications, information technology, facility infrastructure, etc., before returning to a permanent facility. ❑ Recover damaged essential records. ❑ Identify, replace, and train new personnel as required. ❑ Develop a plan and supervise the phased transition of all functions back to a permanent facility. ❑ Provides guidance and oversight for overseeing devolution site shut-down procedures. ❑ Develop and implement a phase-down plan. ❑ Update reporting and communications requirements operating procedures. ❑ Document all lessons learned for the After-Action Report (AAR) and the Corrective Action Program (CAP).

Table J-5: Site Occupation

Site Occupation			
Time	**Action**	**Comments**	**Responsibility**
Environment			
Activation + 30 minutes	Access Control established		Security
Activation + 1 hour	Life Safety in place		Emergency Management
Activation + 1 hour 30 minutes	Tables and chairs set up		Facilities
IT/ Communications			
Activation + 2 hours	Electrical power drops in place		Facilities
Activation +2 Hours	Phone lines and devices in place		IT
Activation +2 hours 30 minutes	Computer cabling complete		IT
Work Supplies			

Table J.6: Operations Schedule

Operations Schedule				
Date / Time	**Meeting Name/ Facilitator**	**Purpose**	**Attendees**	**Location**
DD/MM 0800	AM Situational Awareness Briefing/ DM and Operations Chief.	To bring all key leaders and managers up to date with the last 24 hours activities and set priorities for the day's activities.	Organization Senior Leadership and DERG Section and Branch Chiefs.	Rm 123

Table J.7: Position Guide

***Title* Deputy DERG Director**	
Responsibilities:	❑ The Deputy DERG Director if assigned, may be delegated authorities and responsibilities by the DERG Director. In most cases the Deputy will assist the Director or act as the Director's relief.
Start Up Actions:	❑ Check in with **[Office/Title]** for situation briefing, receive and provide updates.
	❑ Coordinate with the Director on the role the Deputy is to take during the emergency.
Ongoing Duties:	❑ Organize and facilitate planning meetings and briefings during DERG member shift changes.
	❑ Identify issues and advise the Director as deemed appropriate.
Deactivation:	❑ When authorized by **[Organization Name]** leadership, deactivate and close out all logs.
	❑ Provide logs and other relevant documents to the Devolution Manager for DWG review.

Annex K. ACRONYMS

AAR	After-Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CGC	Continuity Guidance Circular
COOP	Continuity of Operations
COGCON	Continuity of Government Readiness Condition
CWG	Continuity Working Group
D/A	Departments and Agencies
DERG	Devolution Emergency Response Group
DHS	Department of Homeland Security
DWG	Devolution Working Group
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
GSA	General Services Administration
HQ	Headquarters
IP	Improvement Plan
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NARA	National Archives and Records Administration
NCP	National Continuity Programs
NCR	National Capital Region
NEF	National Essential Function
NTAS	National Terrorism Advisory System
NWS	National Weather Service
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
POC	Point-of-Contact

PPD	Presidential Policy Directive
STTL	State, Territory, Tribal, and Local
TT&E	Test, Training, and Exercise