
Appendix D: Continuity Evaluation Tool

CONTINUITY EVALUATION TOOL: VERSION 6

The Continuity Evaluation Tool is designed to assess elements of continuity outlined in the annexes of Federal Continuity Directive 1 (FCD 1). The purpose of the Continuity Evaluation Tool is to evaluate Department and Agency (D/A) continuity programs, plans and procedures that exercise evaluators will assess during the Eagle Horizon 2008 continuity exercise. It is the first step in the implementation of the continuity Readiness Reporting System (RRS), intended to introduce and refine the assessment process, and to establish a baseline that demonstrates the extent to which D/As have implemented their continuity plans and procedures. Following the completion of the Eagle Horizon exercise, the Continuity Evaluation Tool will be incorporated into Spiral 1 of the continuity Readiness Reporting System.

Within the Continuity Evaluation Tool, there are 13 continuity elements to evaluate, which correspond with 13 of the 17 annexes found in FCD 1. The Risk Management Cycle requirements addressed in Annex B of the FCD 1 are captured within individual tasks of the 13 evaluated continuity elements, and Annexes O-Q, which address Acronyms, Definitions, and Authorities and References, respectively, do not contain continuity requirements.

The Continuity Evaluation Tool further defines each element using continuity activities and supporting tasks. The supporting tasks are evaluated on a Yes/No scale with a numerical score of 0 through 6 being equivalent to a “No”, and 7 through 10 being equivalent to a “Yes”. This progressive scoring system is an integral part of the continuity Readiness Reporting System and allows a D/A to demonstrate progress from one assessment to the next, even if the progress is not sufficient to move the rating from a “No” to a “Yes”. Table A further defines these “Yes/No” scoring criteria. The overall assessment for each of these continuity elements will be based on the individual task Yes/No evaluations with that element. Any “No” rating for a critical task renders the entire element as “Red,” indicating significant compliance or implementation concerns.

The Continuity Evaluation Tool Task Rating Instructions:

- Answer all tasks associated with the respective continuity element, using the numerical score defined in Table A.
- Tasks rated as 7 or above are designated as a “Yes” by placing the appropriate numerical score in the “Yes” box.
- Tasks rated as 6 or below are designated as a “No” by placing the appropriate numerical score in the “No” box.
- Items that are not applicable to the D/A’s continuity program in the respective continuity element should be annotated by placing an “X” in the “Not Applicable” box.
- Some tasks within the Continuity Evaluation Tool have been pre-identified and annotated as “Not Applicable” because the guidance referred to in these particular tasks has not been released at this time. These pre-identified tasks are shaded gray.

The Continuity Evaluation Tool Element Rating Instructions:

- Identify any “No” responses for any “critical” tasks, which are those tasks denoted with an asterisk (*), within the respective continuity element. The respective continuity element automatically receives a “Red” overall rating if the answer for any critical task is rated “No”.
- If all critical tasks within the respective continuity element are rated “Yes”, add up all tasks rated as “Yes”, where each “Yes” rating counts as 1 item, regardless of the numerical designation, including all critical ones and all tasks within all activities for the respective continuity element.
- Determine the total number of applicable tasks, including all critical ones, within all activities within the respective continuity element. Exclude any tasks rated as “N/A” from the total number of applicable tasks for that respective element.
- Assign a Green, Yellow, or Red rating for the respective element based on the Yes/No answers given for all applicable tasks for all activities within that respective continuity element.
- The basis for a Green, Yellow, or Red rating is as follows:
 - **GREEN**: All critical tasks are “Yes” and at least 80% of all tasks within the respective continuity element are “Yes”, signifying that there are no significant deficiencies with the respective continuity element.
 - **YELLOW**: All critical tasks are “Yes” and between 50 to 80% of all tasks within the respective continuity element are “Yes”, signifying that there are some compliance and/or implementation concerns that may hinder but not prevent continuity operations from occurring.
 - **RED**: Any critical task is “No” or less than 50% of all tasks within the respective continuity element are “Yes”, signifying that there are significant compliance and/or implementation concerns that will prevent continuity operations from occurring.
- To determine the percentage of tasks you answered as “Yes”, divide the number of tasks rated as “Yes” by the total number of applicable tasks to determine the percentage of tasks that are “Yes”.

Table A: Task Rating Criteria

	No Progress	Limited Progress	Moderate Progress	Substantial Progress	Objective Achieved
EXPLANATION	<p>No progress has been made toward achieving the identified continuity requirement or objective.</p> <p>This may be because there has been no activity in this area or because insurmountable barriers exist.</p>	<p>1-2: Preliminary efforts have been initiated. Few if any steps have been implemented successfully so far.</p> <p>3: Initial specific steps toward the objectives have been successfully implemented.</p> <ul style="list-style-type: none"> Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the requirement or objective 	<p>4-5: Significant efforts are under way but the requirement has not yet been fulfilled.</p> <ul style="list-style-type: none"> Important gaps remain. Challenges that could potentially undermine achievement exist and have not yet been resolved. <p>6: Significant efforts are under way and specific examples of progress in this area can be identified.</p> <ul style="list-style-type: none"> Strategies for closing gaps and overcoming barriers have been initiated. 	<p>7-8: Efforts to achieve this objective are established and stable.</p> <ul style="list-style-type: none"> Some weakness or barriers that prevent complete success at all organization component levels persist Shortfalls are not critical and strategies to resolve them are documented and well under way <p>9: Efforts in this area are mature.</p> <ul style="list-style-type: none"> Few gaps or barriers remain None are significant Evidence documenting this level of progress is readily available 	<p>10: Indicates the requirement and/or objective is fully achieved with regard to this capability.</p> <ul style="list-style-type: none"> All barriers to success have been overcome Strengths are robust and likely to be sustained Evidence is readily available attesting to this level of achievement
	0	1 2 3	4 5 6	7 8 9	10
	NO	NO	NO	YES	YES

Table B: Element Rating Criteria

Label	<p>No Progress ←————→ Objective Achieved</p>			
Explanation	<p>0-49%: Low Range:</p> <ul style="list-style-type: none"> • Minimum progress has been made towards achieving the identified objective. • One or more critical tasks may not be completed. • Preliminary efforts may have been initiated. • Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the objective. • Strategies for closing gaps and overcoming barriers to success are being developed and initiated. • Work may have begun on strategies to resolve weaknesses and barriers that persist and prevent success. • Insurmountable barriers may exist and challenges that could potentially undermine achievement may exist and might not yet been resolved. 	<p>50-79%: Mid Range:</p> <ul style="list-style-type: none"> • Significant efforts are underway and specific examples of progress in this area can be identified. • All critical tasks have been completed. • Strategies for closing gaps and overcoming barriers to success are being implemented and clear progress has been made. • Efforts to achieve this objective are established and stable. • Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well underway. 	<p>80-99%: Upper Range:</p> <ul style="list-style-type: none"> • Efforts within this continuity element are mature. • All critical tasks have been completed. • Few gaps or barriers to success remain. None are significant. • Evidence documenting this level of progress is readily available. • Efforts within this area may include addressing lessons learned from exercises or events when this element of capability was tested and demonstrated. • Strengths are robust and likely to be sustained. 	<p>100%: Completion</p> <ul style="list-style-type: none"> • Indicates that the objective is fully achieved with regard to this capability. • All critical tasks have been completed. • All barriers to success have been overcome. • Strengths are robust and likely to be sustained. • Evidence is readily available attesting to this level of achievement.
Percent Scale	0-49%	50-79%	80-99%	100%
	RED	YELLOW	GREEN	GREEN

Program Plans and Procedures

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: An effective continuity program is implemented through its related continuity plans and procedures and an effective continuity test, training, exercise, and operational capability to support those plans and procedures. An essential part of developing a comprehensive continuity plan is the establishment of planning and procedural objectives and requirements. Metrics shall be used to measure an agency's ability to meet its continuity requirements. Continuity planning is an effort to document the existence of, and ensure the capability to continue agency essential functions during a wide range of potential emergencies.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's essential functions under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.1*	Agency has a continuity plan and procedures approved by the Agency Head or designee, such as the Continuity Coordinator or Continuity Manager. [FCD 1 Page 11, Item e, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.2*	Agency continuity program supports and plan addresses the key elements of continuity: essential functions; orders of succession; delegations of authority; alternate facilities; interoperable communications; vital records; human capital; tests, training, and exercises (TT&E); devolution; and reconstitution. [FCD 1 Annex A, Page A-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's essential functions under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		
A.3	Agency continuity plans and procedures establishes internal procedures for executing changes to the Continuity of Government Readiness Conditions (COGCON), as appropriate. [FCD 1 Annex A, Page A-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.4	Agency continuity plans and procedures provides a process for reporting continuity readiness posture and activation status in accordance with guidance provided in FCD 1 Annex M, Reconstitution Operations, and Annex N, Continuity Plan Operational Phases and Implementation. [FCD 1 Annex A, Page A-3, Bullets #10 & 11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.5	Agency plans or procedures establish and maintain point-of-contact (POC) rosters of trained continuity personnel who are fully equipped and have the authority to perform essential functions, Rosters include at a minimum names and home, work, and cellular telephone numbers. [FCD 1 Annex A, Page A-3, Bullet #13] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.6	Agency plans or procedures include guidance for communicating and coordinating activities with deployed and non-deployed personnel before, during, and after a continuity event [FCD 1 Annex A, Page A-3, Bullet #15; FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.7	Agency plans or procedures provide guidance to all staff in developing Family Support Plans which will increase personal and family preparedness throughout the organization and support employee availability during a continuity event. [FCD 1 Annex A, Page A-4, Bullet #25] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.8*	Agency provides a process or methodology for attaining operational capability at the continuity sites(s) with minimal disruption to operations, within 12 hours of plan activation. [FCD 1 Annex A, Page A-4, Bullet #18] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.9*	Agency activation and relocation plans include alert and notification procedures for all continuity personnel throughout the phases of a continuity event, including processes for monitoring the Department of Homeland Security (DHS) Homeland Security Advisory System (HSAS), the Federal Government Response Stages for Pandemic Influenza, intelligence, and other advisory information. [FCD 1 Annex A, Page A-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.10	Agency includes procedures for activation and relocation, including guidance for continuity personnel, in its continuity plan or within a separate implementation plan, which include instructions on moving to an alternate facility and on moving vital records (those that have not been pre-positioned) from the primary to the alternate facility. [FCD 1 Annex A, Page A-3, Bullet #14; FCD 1 Annex N, Page N-4, Activation & Relocation, 2 nd Bullet #5; FCD 1 Annex N, Page N-5, Activation & Relocation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.11	Agency activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation due to with and without warning events during duty hours and non-duty hours for continuity plan activation. [FCD 1 Annex A, Page A-3, Bullets #10 & 16] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.12	Agency activation and relocation plans include procedures for the notification of alternate facilities and on-site support teams. [FCD 1 Annex N, Page N-4, Notification, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.13	Agency activation and relocation plans include procedures for agency HQ to notify the FOC of its continuity plan activation and relocation status, the agency's alternate location, operational and communications status, and anticipated duration of relocation. [FCD 1 Annex N, Page N-4, Notification, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.14	Agency activation and relocation plans include procedures for notifying other POCs, adjacent agencies, customers, stakeholders, and interdependent agencies of continuity plan activation and status. [FCD 1 Annex N, Page N-4, Notification, Bullet #2c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.15	Agency activation and relocation plans identify what drive-away kits should contain and how to maintain those kits. [FCD 1 Annex A, Page A-4, Bullet #22] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.16	Agency activation and relocation plans include instructions on procuring necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. [FCD 1 Annex A, Page A-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 3: Agency plans or procedures include instructions for the execution of all essential functions at the alternate facility, in accordance with applicable continuity guidance and directives, that, when implemented, ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.17*	Agency plans or procedures identify the components, processes, and requirements, as determined by the agency, that ensure the continued performance of the agency's MEFs and PMEFs. [FCD 1 Annex A, Page A-3, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.18	Agency plans or procedures include reception in-processing and accounting for continuity personnel. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.19	Agency plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.20	Agency plans or procedures include identification of replacement personnel and augmentees, as necessary. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.21	Agency plans or procedures include provisions and procedures for assisting all agency staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster. [FCD 1 Annex A, Page A-4, Bullet #24] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.22	Agency plans or procedures include instructions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. [FCD 1 Annex A, Page A-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Tasks	A.1*	A.2*	A.3	A.4	A.5	A.6	A.7	A.8*	A.9*	A.10	A.11	Total
Yes												
No												
N/A												

Tasks	A.12	A.13	A.14	A.15	A.16	A.17*	A.18	A.19	A.20	A.21	A.22	Total
Yes												
No												
N/A												

An Asterisk (*) after a task number denotes critical task item.

Budgeting and Acquisition of Resources

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Agencies must identify the people, communications, facilities, infrastructure, and transportation requirements, which are necessary to the successful implementation and management of an agency's continuity program. To support these programs, it is necessary to align and allocate the budgetary resources needed to acquire and then implement these requirements.

Jurisdiction or Organization:

Name of Exercise:

Location:

Date and Period of Time Evaluated:

Evaluator:

Evaluator Contact Info:

Activity 1: Through the budgeting process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk (*) after a task number denotes critical task item.

	Tasks/Observation Keys	Task Status
C.1*	Agency identifies and provides continuity funding and specific budgetary guidance and requirements for all levels of their organizations, including subordinate components and regional-and field-level offices. [FCD 1 Annex C, Page C-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.2	Agency incorporates Office of Management and Budget (OMB) continuity guidance in the development of the agency continuity budgets. [FCD 1 Annex C, Page C-1, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
C.3	Agency submits its continuity funding request and performance data to OMB or similar financial governing body, as applicable. [FCD 1 Annex C, Page C-1, OMB Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Budgeting and Acquisition of Resources (Continued)

Activity 1: Through the budgeting process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
C.4	Agency annually reconciles its continuity funding requests and performance data with Continuity Readiness Reporting System and annual continuity assessments compiled by Federal Emergency Management Agency. [FCD 1 Annex C, Page C-1, OMB Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
C.5	Agency uses a risk management methodology, such as the GAO Risk Management Cycle in FCD 1 Annex B, to identify, prioritize, and justify the allocation of budgetary resources. [FCD 1 Annex B, Page B-1, 2 nd Paragraph; FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.6	Agency integrates budgets with a multiyear strategy and program management plan, and links the budgets directly to objectives and metrics set forth in that plan. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.7	Agency budgets for continuity capabilities in accordance with NSPD-51/HSPD-20 and National Communications System Directive (NCSD) 3-10 (continuity communications), as applicable. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Through the acquisition process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
C.8	Agency provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Budgeting and Acquisition of Resources (Continued)

Tasks	C.1*	C.2	C.3	C.4	C.5	C.6	C.7	C.8	Total
Yes									
No									
N/A		X	X	X					

An Asterisk (*) after a task number denotes critical task item.

Essential Functions

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Essential functions are those organizational functions and activities that must be continued under any and all circumstances. These functions are derived from the organizations overall functions and missions and, when identified, should be prioritized to ensure the most important, critical functions are properly identified and emphasized, as appropriate. Essential functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and prioritize all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.1*	Agency identified its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), documenting them in its continuity plan. [FCD 1 Annex A, Page A-4, Bullet #23; FCD 2 Annex A, Page A-2, 1 st Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.2	Agency documented all of the requirements and procedures needed to perform MEFs and PMEFS, such as the establishment of contingency plans in the event that key resources are not available. [FCD 1 Annex A, Page A-4, Bullet #23; FCD 2 Page 2 and Annex A, Page A-2, Step 1 and Step 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.3	Agency reviewed its government functions to determine those directed by applicable laws, presidential directives, executive orders, and other directives. [FCD 1 Annex D, Page D-3, Bullet #1; FCD 2 Annex A, Page A-2, Step 1, 1 st Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Activity 1: Identify and prioritize all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.4	Agency conducted a Business Process Analysis (BPA) to determine the MEFs that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-2, Step 1, 2 nd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.5	Agency conducted a MEF BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified MEF. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-2, Step 1, 2 nd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.6	Agency head or designee validated and approved the identified MEFs and BPA. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #5; FCD 2 Annex A, Page A-2, Step 1, 5 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.7	Agency determined the MEFs that are associated with a National Essential Function (NEF) and that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance. [FCD 1 Annex D, Page D-5, Paragraph 1; FCD 2 Annex A, Page A-14, Potential PME F Screening Worksheet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.8	Using the MEFs that are associated with an NEF and that need to be continued uninterrupted or need to be resumed within 12 hours, agency created PME F statements that embodied the specificity of the organizational mission and consisted of one or more MEFs that are linked to NEF execution. [FCD 1 Annex D, Page D-7, Paragraph 1; FCD 2 Annex A, Page A-14, Potential PME F Development / PME F Candidate Worksheet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Activity 2: Identify and consider the interdependencies needed to perform all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.9	Agency identified how each MEF is performed and executed, using a business-process flow map. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-11, Identification of Key Elements (Internal and External) For the Components of the BPA] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.10	Agency identified internal and external interdependencies that are part of and/or influence each MEF business process. [FCD 1 Annex D, Page D-4, Step #2; FCD 2 Annex A, Page A-9, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.11	Agency identified those MEFs that provided interdependent support to a MEF performed by another agency or to an Emergency Support Function (ESF) under the National Response Framework (NRF). [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #3; FCD 2 Annex A, Page A-2, Step 1, 3 rd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.12	Agency identified those MEFs that required vital support from another agency to ensure the execution of their mission. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #4; FCD 2 Annex A, Page A-2, Step 1, 4 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.13	Agency continuity plans and procedures included considerations for the particular interdependencies identified within the BPA for each MEF, to include identifying when and where each interdependency would be executed. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #4; FCD 2 Annex A, Page A-2, Step 1, 4 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Tasks	D.1*	D.2	D.3	D.4	D.5	D.6	D.7	D.8	D.9	D.10	D.11	D.12	D.13	Total
Yes														
No														
N/A														

An Asterisk () after a task number denotes critical task item.*

Orders of Succession

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Each organizational element is required to establish, promulgate and maintain orders of succession to key positions. Orders should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
E.1*	Orders of succession for the position of agency head are identified, are current, with revisions distributed to agency personnel as changes occurred. [FCD 1 Annex E, Page E-1, Bullet #1; FCD 1 Annex E, Page E-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.2*	Orders of succession for other key agency positions, including but not limited to administrators, regional or field directors, key managers, other key mission essential personnel or their equivalent positions are identified in the agency's continuity plan and are current. [FCD 1 Annex E, Page E-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.3*	Orders of succession are at least three positions deep, include devolution counterparts when applicable, and are geographically dispersed where feasible. [FCD 1 Annex E, Page E-1, Paragraph 1; FCD 1 Annex E, Page E-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.4	Agency described its orders of succession by positions or titles, rather than by the names of the individuals holding those offices. [FCD 1 Annex E, Page E-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.5	Orders of succession reviewed by the agency's general counsel as changes occur. [FCD 1 Annex E, Page E-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.6	Orders of succession identified the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and referenced the applicable laws and agency directives. [FCD 1 Annex E, Page E-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.7	Agency included temporal, geographical, and/or organization limitations to the authorities in its orders of succession procedures. [FCD 1 Annex E, Page E-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.8	Agency included orders of succession as a vital record and copies were accessible and/or available at both the primary and alternate facilities. [FCD 1 Annex E, Page E-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Activity 2: Notify and train successors to leadership positions within the agency, with all training sessions recorded within agency training records.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.9	Agency included the method used to notify successors of their change in leadership status in its orders of succession procedures. [FCD 1 Annex E, Page E-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.10	Agency conducted annual successor training for all agency personnel who assume the authority and responsibility of the agency's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation, to include briefing successors to the position of agency head on their duties and responsibilities as a successor, as reflected within agency training records. [FCD 1 Annex E, Page E-2, Bullet #8; FCD 1 Annex K, Page K-2, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Tasks	E.1*	E.2*	E.3*	E.4	E.5	E.6	E.7	E.8	E.9	E.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Delegations of Authority

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Delegations of authority specify who is authorized to act on behalf of the Agency head or other officials for specified purposes. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when those channels have been reestablished. Delegations of authority at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, are included in the applicable continuity implementation plans.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key agency leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
F.1*	Agency delegation of authority documented in advance (where designated) the legal authority for officials (including those below the level of agency head) to make key policy decisions during a continuity situation. [FCD 1 Annex F, Page F-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.2*	Agency delegation of authority outlined explicitly in a statement, the authority of an official so designated, to exercise agency direction. [FCD 1 Annex F, Page F-1, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.3	Agency included delegations of authority in the vital records. [FCD 1 Annex F, Page F-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Delegations of Authority (Continued)

Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key agency leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
F.4	Agency delegation of authority was written in accordance with applicable laws ensuring that the agency's Primary Mission Essential Functions (PMEFs) and Mission Essential Functions (MEFs) are performed. [FCD 1 Annex F, Page F-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.5	Agency delegation of authority delineated the limits of and any exceptions to the authority and accountability for officials. [FCD 1 Annex F, Page F-1, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.6	Agency delegation of authority outlined explicitly in a statement, the authority of an official to re-delegate functions and activities, as appropriate. [FCD 1 Annex F, Page F-1, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.7	Agency delegation of authority defined the circumstances, to include a devolution situation if applicable, under which delegation of authorities would take effect and would be terminated. [FCD 1 Annex F, Page F-1, Bullet #2c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.8*	Agency informed those officials who might be expected to assume authorities during a continuity situation, as required by its delegations of authority. [FCD 1 Annex F, Page F-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.9	Agency trained the officials mentioned in F.8 at least annually, for all pre-delegated authorities for making policy determinations and other decisions, at the headquarters, field, satellite, and other organizational levels, as appropriate, as reflected in agency training records. [FCD 1 Annex F, Page F-1, Bullet #3; FCD 1 Annex K, Page K-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Delegations of Authority (Continued)

Tasks	F.1*	F.2*	F.3	F.4	F.5	F.6	F.7	F.8*	F.9	Total
Yes										
No										
N/A										

An Asterisk () after a task number denotes critical task item.*

Continuity Facilities

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Continuity facilities are locations where leadership and staff may operate during a continuity event. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, enduring operations. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.1*	Agency identified and maintained at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the agency's ability to initiate and sustain operations is minimized. [FCD 1 Annex G, Page G-1, Paragraph 1 & 2; FCD 1 Annex G, Page G-2, 1 st Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.2*	Agency alternate facilities had sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.3*	Agency had a signed Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) for all alternate facilities where it co-located with another agency or for alternate facilities it neither owned nor leased, as applicable. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.4	Agency reviewed all alternate facility leases and MOAs/MOUs annually. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.5	Agency has an all-hazards risk assessment, that included identification of all hazards that may affect each facility, for all continuity facilities. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.6	Agency risk assessment included a vulnerability assessment that determined the effects of all hazards on each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.7	Agency risk assessment included a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.8	Agency risk assessment included a formal analysis by management of acceptable risk for each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.9	Agency reevaluated its alternate facilities, to include virtual office options including telework, for suitability and functionality, at least annually and whenever the agency's continuity plans were reviewed and updated. [FCD 1 Annex G, Page G-5, Acquisition Process, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.10	Agency identified alternate facilities and provided the necessary data on all alternate facilities to GSA using Standard Form 336, when applicable. [FCD 1 Annex G, Page G-5, Reporting Process, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 2: Equip all agency alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, enduring operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.11*	Agency alternate facilities included considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products, in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed. [FCD 1 Annex G, Page G-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.12*	Agency alternate facilities, to include virtual office options including telework, included reliable logistical support, services, and infrastructure systems, to include information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out MEFs and PMEFS for up to 30 days or until normal business activities can be resumed. [FCD 1 Annex G, Page G-1, Bullet #3; FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.13*	Agency alternate facilities, to include virtual office options including telework, provided sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the agency's Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), as appropriate, Emergency Relocation Group (ERG), and support staff. [FCD 1 Annex G, Page G-1, Bullets #1 & #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.14	Agency established procedures for the orientation of continuity personnel and for conducting operations and administration at all alternate facilities. [FCD 1 Annex G, Page G-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.15	Agency evaluated daily operating facilities for hardness in accordance with Interagency Security Commission Standards or applicable agency standards. [FCD 1 Annex G, Page G-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.16	Agency alternate facilities, to include virtual office options including telework, replicated essential capabilities by providing systems and configurations that are used in daily activities. [FCD 1 Annex G, Page G-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 2: Equip all agency alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.17	Agency plans and procedures identified the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework. [FCD 1 Annex G, Page G-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.18	Agency alternate facilities, to include virtual office options including telework, had pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 3: Provide survivable protection and sustain continued, enduring operations under any circumstances from all agency alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.19*	Agency alternate facilities maintained emergency/back-up power capability, so that essential functions and operations continue in the event the primary source of power is disrupted. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.20	Within the past year, agency trained and prepared their personnel for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options including telework, as reflected in agency training records. [FCD 1 Annex G, Page G-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.21	Agency alternate facilities defined a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that describes procedures for continuity events both with warning and with no warning. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullets #1d & #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.22	Agency continuity plans addressed housing to support continuity personnel at or near the alternate facility sites. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Tasks	G.1*	G.2*	G.3*	G.4	G.5	G.6	G.7	G.8	G.9	G.10	G.11*	Total
Yes												
No												
N/A												

Tasks	G.12*	G.13*	G.14	G.15	G.16	G.17	G.18	G.19*	G.20	G.21	G.22	Total
Yes												
No												
N/A												

An Asterisk () after a task number denotes critical task item.*

Continuity Communications

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: The success of continuity programs is dependent on the availability of robust and effective communications to provide Federal intra- and interagency connectivity. An agency's ability to execute its essential functions at its HQ and at its alternate or other continuity facilities, as well as the ability of the agency's senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depends upon the availability of effective communications systems. These systems must support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
H.1*	Agency implemented minimum communications requirements, in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 (continuity communications), as applicable, for its HQs and alternate and other continuity facilities, which support the continuation of the agency's Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) and support connectivity between and among key government leaders, internal elements, other executive agencies, critical partners, and the public. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #4 ; FCD 1 Annex H, Page H-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.2*	Agencies that supported the National Essential Functions (NEFs) possessed, operated, and maintained, or had dedicated access to, communications capabilities, at their HQ and alternate-facility locations, as well as mobile communications capabilities, as required, that ensured the continuation of those agencies' functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters. [FCD 1 Annex H, Page H-1, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Activity 1: Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
H.3*	Agencies that do not support NEFs possessed, operated, and maintained, or had dedicated access to, communications capabilities at their HQ and alternate-facility locations, as well as mobile communications capabilities, as required, that ensured the continuation of those agencies' essential functions. [FCD 1 Annex H, Page H-1, Paragraph 4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.4*	Agencies designated as Category I or II coordinated with the Secretary of Homeland Security and the Secretary of Defense to obtain and operate secure and integrated continuity of government (COG) communications. [FCD 1 Annex A, Page A-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.5	Agency possessed communications capabilities that supported the agency's senior leadership while they were in transit to alternate facilities. [FCD 1 Annex H, Page H-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.6	Agency had a signed agreement between agencies sharing a continuity facility, which ensured that each one had adequate access to communications resources. [FCD 1 Annex H, Page H-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Activity 2: Verify that agency communications systems meet all agency needs, including those mandated by applicable directives and regulations, and train agency personnel on and test all continuity communications systems that support full connectivity, under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
H.7	Agency maintained and had readily available for a period of sustained usage of no less than 30 days, or until normal operations could be reestablished, the communications capabilities required by the National Communications System's (NCS) Directive 3-10, as reflected in agency testing records. [FCD 1 Annex H, Page H-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.8	Agency trained continuity personnel, as appropriate, in the use of the communications capabilities and information technology (IT) systems required by NCS Directive 3-10 to be used during a continuity event, as reflected in agency training records. [FCD 1 Annex H, Page H-1, Bullet #4; FCD 1 Annex K, Page K-2, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.9	Agency satisfied the requirement to provide assured and priority access to communications resources, such as Government Emergency Telephone Service (GETS), Wireless Priority Service (WPS), and Telecommunications Service Priority (TSP). [FCD 1 Annex H, Page H-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.10	Agency maintained fully capable continuity communications that could support agency needs during all hazards, to include a pandemic and other related emergencies and giving full consideration to supporting social distancing operations including telework and other virtual offices. [FCD 1 Annex H, Page H-1, Paragraph 5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Tasks	H.1*	H.2*	H.3*	H.4*	H.5	H.6	H.7	H.8	H.9	H.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Vital Records Management

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Each department and agency continuity program, plan, and procedures should account for identification and protection of those vital records and mission critical systems and databases, to include classified or sensitive data as applicable, that are necessary to perform essential functions and activities, and to reconstitute normal operations after the emergency ceases. Agencies should pre-position, and update on a regular basis, duplicate records and databases or back-up electronic media. The agency's Vital Records Program must be reviewed periodically and updated accordingly.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
I.1*	Vital records program identified and protected those records that specified how an agency will immediately operate and continue to operate during a continuity situation. [FCD 1 Annex I, Page I-1, Bullet #1a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.2*	Vital records program identified those records needed to protect the legal and financial rights of the Government and citizens. [FCD 1 Annex I, Page I-2, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.3	Agency incorporated its vital records program into the overall continuity program, plans, and procedures. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.4	Agency vital records program included appropriate policies, authorities, procedures and the written designation of a vital-records manager. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.5	Agency maintained a complete inventory of vital records along with locations of and instructions on accessing those records. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 2: Maintain access to all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity situation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.6*	Vital records, at a minimum, must be annually reviewed, rotated, or cycled so that the latest version will be available. [FCD 1 Annex I, Page I-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.7	Agency inventory of vital records maintained at an alternate site. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.8	Agency performed a risk assessment to identify risks if vital records are retained in current locations and media, and the difficulty of reconstituting them if they are destroyed. [FCD 1 Annex I, Page I-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.9	Agency ensured appropriate protections for vital records and for dispersing those records to other agency locations. [FCD 1 Annex I, Page I-2, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 3: Create and maintain a vital records plan packet for the agency that includes all applicable materials needed during continuity operations.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.10	Agency developed and maintained a vital records plan packet or collection that included a hard copy or electronic list of key agency personnel and continuity personnel with up-to-date telephone numbers. [FCD 1 Annex I, Page I-3, Bullet #9a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.11	Agency developed and maintained a vital records plan packet or collection that contained an inventory with precise locations of vital records. [FCD 1 Annex I, Page I-3, Bullet #9b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.12	Agency developed and maintained a vital records plan packet or collection that contained the necessary keys or access codes. [FCD 1 Annex I, Page I-3, Bullet #9d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.13	Agency developed and maintained a vital records plan packet or collection that listed alternate operating facility locations. [FCD 1 Annex I, Page I-3, Bullet #9e] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.14	Agency developed and maintained a vital records plan packet or collection that had a listing of the access requirements and lists of the sources of equipment necessary to access the records. [FCD 1 Annex I, Page I-3, Bullet #9f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.15	Agency developed and maintained a vital records plan packet or collection that listed records recovery experts or vendors. [FCD 1 Annex I, Page I-3, Bullet #9g] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.16	Agency developed and maintained a vital records plan packet or collection that included a copy of the agency's continuity plans. [FCD 1 Annex I, Page I-3, Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.17	Agency reviewed its vital records plan packet or collection within the past year with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current and with a copy of the review maintained at the agency's alternate facility. [FCD 1 Annex I, Page I-3, Below Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 4: Review, train, and test agency vital records program and capabilities, with all training and testing sessions recorded within agency records.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.18*	Agency annually reviewed the vital records program to address new security issues, identified problem areas, updated information, and incorporated any additional vital records generated by new agency programs or functions or by organizational changes to existing programs or functions. [FCD 1 Annex I, Page I-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.19	Agency conducted annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital-records program and its relationship to their vital-records and business needs, as reflected in agency training records. [FCD 1 Annex I, Page I-3, Bullet #10; FCD 1 Annex K, Page K-2, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.20	Agency annually tested their capabilities for protecting classified and unclassified vital records, and for providing access to them from the alternate facility, as reflected in agency testing records. [FCD 1 Annex I, Page I-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Tasks	I.1*	I.2*	I.3	I.4	I.5	I.6*	I.7	I.8	I.9	I.10	I.11	I.12	I.13	I.14	I.15	I.16	I.17	I.18*	I.19	I.20	Total	
Yes																						
No																						
N/A																						

An Asterisk () after a task number denotes critical task item.*

Human Capital

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: In a continuity event, continuity personnel and other special categories of employees will be activated by an agency to perform their assigned response duties. Agency plans and procedures for all employees should be included or referenced in the continuity plans as well as in other types of emergency response planning documents. An agency must ensure that its human capital strategies for its continuity personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are regularly reviewed and updated, as appropriate.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify continuity leadership and staff and establish agency human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.1*	Agency head or designee had identified and designated those positions and personnel he or she judged to be critical to agency operations in any given emergency situation as members of the emergency relocation group (ERG). [FCD 1 Annex J, Page J-1, Bullet #1, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.2*	Agency ERG members possess the skill sets necessary to perform essential functions and supporting tasks. [FCD 1 Annex J, Page J-1, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 1: Identify continuity leadership and staff and establish agency human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.3	Agency identified and documented its continuity personnel. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.4	Agency officially informed all continuity personnel of their roles or designations by providing documentation to ensure that continuity personnel know and accept their roles and responsibilities. [FCD 1 Annex J, Page J-2, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.5	Agency established procedures for contacting and accounting for employees in the event of an emergency. [FCD 1 Annex J, Page J-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.6	Agency identified a human capital liaison from the agency's human resources staff to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency's emergency plans. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.7	Agency continuity programs, plans, or procedures included or referenced agency-specific guidance and direction for continuity personnel on human-capital issues. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 2: Communicate and train agency personnel on applicable human capital procedures and considerations related to continuity.**Tasks Observed (check those that were observed and provide the time of observation)**

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.8	Agency developed procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure situation. [FCD 1 Annex J, Page J-2, Bullet #3, Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.9	Agency continuity personnel participate in their agency's continuity test, training, and exercise (TT&E) program, as reflected in agency training records. [FCD 1 Annex J, Page J-2, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.10	Agency provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. [FCD 1 Annex J, Page J-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.11	Agency made staff aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 3: Develop and integrate human capital strategies for all agency personnel during a continuity activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk (*) after a task number denotes critical task item.

	Tasks/Observation Keys	Task Status
J.12	Agency developed a process to communicate instructions with continuity personnel before, during, and after a continuity event. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.13	Agency developed a process to communicate the agency's operating status with all staff. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.14	Agency integrated human capital procedures for its facility, geographic region, and Office of Personnel Management (OPM) into its continuity plan, as appropriate. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.15	Agency developed a process to communicate their human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities) to managers in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Tasks	J.1*	J.2*	J.3	J.4	J.5	J.6	J.7	J.8	J.9	J.10	J.11	J.12	J.13	J.14	J.15	Total
Yes																
No																
N/A																

An Asterisk () after a task number denotes critical task item.*

Test, Training, and Exercise Program

Element Color Determination: _____

Exercise Evaluation Guide

<p>Capability Description: An effective Test, Training, and Exercise (TT&E) program is necessary to assist agencies to prepare and validate their organization's continuity capabilities and program and support the Federal executive branch's ability to perform PMEFS and MEFs during any emergency. The test, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving an agency's ability to execute its continuity program, plans, and procedures. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event. Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.</p>	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

<p>Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.</p>		
<p>Tasks Observed (check those that were observed and provide the time of observation) <i>Note: An Asterisk (*) after a task number denotes critical task item.</i></p>		
	Tasks/Observation Keys	Task Status
K.1*	Agency developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of MEFs and PMEFS. [FCD 1 Annex K, Page K-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.2*	Agency conducted quarterly testing of alert, notification, and activation procedures for all continuity personnel. [FCD 1 Annex K, Page K-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.3*	Agency conducted annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.4*	Agency tested and validated equipment to ensure the internal and external interoperability and viability of communications systems, through monthly testing of the continuity communications capabilities outlined in FCD 1, Annex H (e.g., secure and nonsecure voice and data communications). [FCD 1 Annex K, Page K-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.5*	Agency annually tested the capabilities required to perform the agency's Mission Essential Functions (MEFs), as identified in the business process analysis (BPA). [FCD 1 Annex K, Page K-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.6	Agency conducted annual testing of plans for recovering vital records (both classified and unclassified), critical information systems, services, and data. [FCD 1 Annex K, Page K-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.7	Agency conducted annual testing and exercising of required physical security capabilities at its alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.8	Agency formally documented and reported all conducted tests and their results, as applicable. [FCD 1 Annex K, Page K-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.9	Agency reported all test results as directed by the Department of Homeland Security (DHS) and the Federal Emergency Management Agency (FEMA). [FCD 1 Annex K, Page K-1, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
K.10	Agency conducted annual testing of internal and external interdependencies identified in the agency's continuity plan, with respect to performance of an agency's and other agencies' MEFs. [FCD 1 Annex K, Page K-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 2: Create, execute, and document an effective agency-wide continuity training program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.11*	Agency conducted annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations. [FCD 1 Annex J, Page J-1, Bullet #1; FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.12	Agency conducted annual continuity awareness briefings (or other means of orientation) for the entire workforce. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.13	Agency conducted annual training for the agency's leadership on that agency's Primary Missions Essential Functions (PMEFs) and Mission Essential Functions (MEFs), including training on their continuity responsibilities. [FCD 1 Annex K, Page K-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.14	Agency conducted personnel briefings on agency continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices. [FCD 1 Annex K, Page K-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.15	Agency conducted annual training for all reconstitution plans and procedures to resume normal agency operations from the original or replacement primary operating facility. [FCD 1 Annex K, Page K-2, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.16	Agency documented all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given; and submitted this annual report on its training program to FEMA. [FCD 1 Annex K, Page K-2, Training Section, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 3: Create, execute, and document an effective agency-wide exercise program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.17	Agency exercise program complies with the DHS-mandated National Exercise Program (NEP), as appropriate. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.18	Agency TT&E program provided an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to demonstrate the agency's capability to continue its essential functions. [FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.19	Agency conducted an annual exercise that incorporated the deliberate and preplanned movement of continuity personnel to an alternative facility or location. [FCD 1 Annex K, Page K-3, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.20	Agency TT&E program provided an opportunity to demonstrate its intra- and interagency continuity communications capabilities. [FCD 1 Annex K, Page K-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.21	Agency TT&E program provided an opportunity to demonstrate that backup data and records required for supporting essential functions at alternate facilities or locations are sufficient, complete, and current. [FCD 1 Annex K, Page K-3 Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.22	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate. [FCD 1 Annex K, Page K-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.23	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures. [FCD 1 Annex K, Page K-3, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 3: Create, execute, and document an effective agency-wide exercise program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.24	Agency conducted a comprehensive debriefing or hotwash after each exercise, which allowed participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the agency's continuity plan. [FCD 1 Annex K, Page K-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.25	Agency provided organizational assistance to FEMA in conducting annual full-scale continuity exercises and biennial assessments of the agency's continuity program to support reports submitted to the National Continuity Coordinator (NCC) and the President. [FCD 1 Annex K, Page K-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 4: Maintain an agency Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.26	Agency developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. [FCD 1 Annex K, Page K-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.27	Agency incorporated evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. [FCD 1 Annex K, Page K-3, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.28	Agency continuity personnel conducted annual assessments of their continuity TT&E programs and continuity plans and programs. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.29	Agency continuity personnel reported the findings of all annual assessments as directed to FEMA. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.30	Agency CAP identified continuity deficiencies and other areas requiring improvement. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.31	Agency CAP provided responsibilities and a timeline for corrective action. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 4: Maintain an agency Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.32	Agency CAP identified program and other continuity funding requirements for submission to department and agency leadership and Office of Management and Budget (OMB). [FCD 1 Annex K, Page K-3, Bullet #12b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.33	Agency CAP identified and incorporated efficient acquisition processes, and where appropriate, collected all interagency requirements into one action. [FCD 1 Annex K, Page K-3, Bullet #12c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.34	Agency CAP identified continuity personnel requirements for department and agency leadership and their supporting Human Resource Offices and the Office of Personnel Management (OPM), where appropriate. [FCD 1 Annex K, Page K-3, Bullet #12d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Tasks	K.1*	K.2*	K.3*	K.4*	K.5*	K.6	K.7	K.8	K.9	K.10	K.11*	K.12	K.13	K.14	K.15	K.16	K.17	Total
Yes																		
No																		
N/A									X							X		

Tasks	K.18	K.19	K.20	K.21	K.22	K.23	K.24	K.25	K.26	K.27	K.28	K.29	K.30	K.31	K.32	K.33	K.34	Total
Yes																		
No																		
N/A																		

An Asterisk (*) after a task number denotes critical task item.

Devolution of Control and Direction

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions from either the agency's primary or alternate facilities. Devolution planning also addresses notice and no notice events. A continuity plan's devolution option should be developed so that it addresses how an agency will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the agency's alternate facility is not available or the option can be activated as a continuity measure.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L. 1*	Agency devolution plan included the elements of a viable continuity capability: program plans and procedures; budgeting and acquisitions; essential functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution. [FCD 1 Annex L, Page L-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L. 2*	Agency devolution plan identified prioritized essential functions and defined the tasks that support those essential functions. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.3*	Agency devolution plan maintained a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. [FCD 1 Annex L, Page L-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.4*	Agency devolution plan identified what would likely activate or "trigger" the devolution option and specified how and when direction and control of agency operations will be transferred to and from the devolution site. [FCD 1 Annex L, Page L-1, Bullet #4; FCD 1 Annex L, Page L-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.5	Agency established and maintained a capability to restore or reconstitute agency authorities to their pre-event status upon termination of devolution. [FCD 1 Annex L, Page L-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Activity 2: Develop a devolution plan or procedures that address the resource and training considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L.6	Agency determined the necessary resources to facilitate the immediate and seamless transfer of essential functions to the devolution site. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.7	Agency listed or referenced the necessary resources (i.e., equipment and materials) to facilitate the performance of essential functions at the devolution site within the devolution section of its continuity plan. [FCD 1 Annex L, Page L-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.8	Agency established and maintained reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. [FCD 1 Annex L, Page L-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.9	Agency conducted annual training on an agency's devolution option for continuity, addressing how the agency will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency and documented the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events. [FCD 1 Annex K, Page K-2, Bullet #9; FCD 1 Annex L, Page L-1, 2 nd to Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.10	Agency corrective action program (CAP) supported the agency's devolution program. [FCD 1 Annex L, Page L-1, Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Tasks	L.1*	L.2*	L.3*	L.4*	L.5	L.6	L.7	L.8	L.9	L.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Reconstitution Operations

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Agencies must identify and outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
M.1*	Agency provided an executable plan for recovering from the effects of an emergency and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption had passed. [FCD 1 Annex A, Page A-3, Bullet #7; FCD 1 Annex M, Page M-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.2	Agency plans or procedures include redeployment plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.3	Agency coordinated and preplanned options for agency reconstitution regardless of the level of disruption that originally prompted the agency to implement its continuity plan. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.4	Agency reconstitution plan included moving operations from the continuity or devolution locations to either the original operating facility or new operating facility. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.5	Agency outlined or referred to the necessary procedures, whether under a standard continuity scenario or a devolution scenario, for conducting a smooth transition from the relocation sites to a new facility. [FCD 1 Annex M, Page M-1, 1 st Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.6	Agency developed a plan or procedures to inform all personnel that the actual emergency or threat of an emergency no longer existed. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.7	Agency developed a plan or procedures to instruct personnel on how to resume normal operations. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.8	Agency developed a plan or procedures to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.9	Agency developed a plan or procedures to verify that all systems, communications, and other required capabilities were available and operational and that the agency was fully capable of accomplishing all essential functions and operations at the new or restored facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.10	Agency developed a plan or procedures to report the status of the relocation to the new or restored facility to the FEMA Operations Center (FOC) by contacting 540.665.6100 or at 800.634.7084. [FCD 1 Annex M, Page M-1, Implementation, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.11	Agency developed a plan or procedures to identify any records affected by the incident. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.12	Agency developed a plan or procedures to work with its records office (or similar function in the agency) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 2: Develop plans and procedures to identify areas for improvement and remedy these items during agency reconstitution activities to improve the agency's capability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.13	Agency developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.14	Agency developed a plan or procedures to identify areas for improvement from the after-action review. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.15	Agency developed a plan or procedures to document findings in the agency corrective action plan (CAP). [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.16	Agency developed a remedial action plan as soon as possible after the reconstitution. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Tasks	M.1*	M.2	M.3	M.4	M.5	M.6	M.7	M.8	M.9	M.10	M.11	M.12	M.13	M.14	M.15	M.16	Total
Yes																	
No																	
N/A																	

An Asterisk () after a task number denotes critical task item.*

Operational Phases and Implementation

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: An agency must be prepared to implement executive decisions that are based upon a review of the emergency, and determine the best course of action based on agency's readiness posture. The agency should integrate implementation procedures and criteria into its continuity plans. The agency's continuity plan must address the four phases of (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the agency's essential functions before, during, and after an emergency or disaster and under all conditions.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Respond to continuity events through completion of agency readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.1*	Agency followed its procedures for the readiness and preparedness phase within its continuity plan or within a separate implementation plan. [FCD 1 Annex N, Page N-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.2*	Agency followed its procedures for the activation and relocation phase within its continuity plan or within a separate implementation plan. [FCD 1 Annex N, Page N-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 1: Respond to continuity events through completion of agency readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.3	Agency utilized its decision matrix for continuity plan activation that addresses with and without warning events, those occurring during duty hours and non-duty hours, in making the decision to activate the agency continuity plan. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.4	Agency notified all employees (continuity essential personnel and non-deployed personnel) of a continuity event. [FCD 1 Annex J, Page J-3, Bullet #4; FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.5	Agency activated personnel, vital records and databases, and equipment involved with the continuation of essential functions with minimal disruption. [FCD 1 Annex N, Page N-4, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.6	Agency accounted for all personnel. [FCD 1 Annex J, Page J-3, Bullet #4 ; FCD 1 Annex N, Page N-5, Continuity Operations, Activities, Bullet #1]	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.7	Agency communicated instructions and operating status with continuity personnel before, during, and after a continuity event. [FCD 1 Annex J, Page J-1, Bullet #1; FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.8	Agency utilized its human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities), as needed, to help the agency continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 2: Respond to continuity events through completion of agency relocation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions..

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.9	Agency subordinate organizations notified their agency HQ upon activation of their continuity plans and of the time of execution or activation of call-down procedures. [FCD 1 Annex N, Page N-4, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.10	Agency HQ Points of Contact (POCs) notified the FOC, as well as other appropriate agencies, of any continuity activation within the agency or subordinate organizations and of the time of execution or activation of call-down procedures. [FCD 1 Annex N, Page N-4, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.11	Agency notified alternate facilities and on-site support teams of an activation and relocation. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.12	Agency notified the FOC of its continuity activation and relocation status, the agency's alternate location, operational and communications status, and anticipated duration of relocation. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2b]	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.13	Agency notified other POCs, agencies that the affected agency interacts with, customers, and stakeholders of the activation of continuity plans and status. [FCD 1 Annex N, Page N-5, Activation & Relocation, Plans & Procedures, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.14	Agency personnel followed the continuity plan instructions on moving personnel and vital records to its alternate facilities. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullets #3 & #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.15	Agency personnel utilized drive-away kits, as applicable. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.16*	Agency demonstrated the capability to perform its Primary Mission Essential Functions (PMEFs) within 12 hours after an event and under all threat conditions, from its alternate facilities, to include virtual office options including telework, including the ability to maintain this capability for up to 30 days after an event or until normal business activities can be resumed. [FCD 1 Annex A, Page A-3, Bullet #17; FCD 1 Annex G, Page G-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.17*	Agency attained operational capability and demonstrated the capability to perform its Mission Essential Functions (MEFs) at its continuity sites with minimal disruption to operations, within 12 hours of activation. [FCD 1 Annex N, Page N-4, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.18*	Agency transitioned responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.19*	Agency personnel stationed at the designated devolution site, with the appropriate authorities, skills and abilities, performed the agency's essential functions and activities when the devolution option of the continuity plan is activated. [FCD 1 Annex L, Page L-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.20*	Agency identified all available agency leadership at its alternate facilities and conducted the orderly and pre-defined transition of leadership, for the position of agency head as well as for key supporting positions, in accordance with its delegations of authority, as applicable during an emergency. [FCD 1 Annex F, Page F-1, Bullet #4; FCD 1 Annex N, Page N-4, Activation & Relocation Phases, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.21*	Agency alternate facilities provided a sufficient quantity and mode/media of interoperable and available redundant and survivable communication capabilities to enable performance of all essential functions. [FCD 1 Annex G, Page G-4, Bullet #8; FCD 1 Annex H, Page H-1, Bullet #2; FCD 1 Annex H, Page H-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.22	Agency procured necessary equipment/supplies needed to support and continue essential functions and sustain operations, which are not already in place. [FCD 1 Annex N, Page N-5, Activation & Relocation, Plans & Procedures, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.23	Agency conducted reception and in-processing of continuity personnel. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.24	Agency continuity personnel understood their roles and responsibilities. [FCD 1 Annex J, Page J-2, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.25	Agency provided guidance to non-deployed personnel. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.26	Agency alternate facilities, to include virtual office options including telework, provided the capabilities to access and use vital records necessary to facilitate the performance of essential functions within twelve hours of a COOP activation, to include having access to the appropriate media for accessing vital records such as local area network, electronic versions of vital records, supporting information systems and data, internal and external e-mail and e-mail archives and hard copies of vital records. [FCD 1 Annex G, Page G-1, Bullet #7; FCD 1 Annex I, Page I-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.27	Agency delegations of authority were available at continuity locations, to include devolution sites if applicable. [FCD 1 Annex F, Page F-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.28	Agency identified and alerted replacement personnel and augmentees, as necessary. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.29	Agency complied with any additional continuity reporting requirements from the FOC. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.30	Agency alternate facilities provided sufficient levels of physical security to protect against all threats as identified in the facility's risk assessment and physical-security surveys by the agency's security office, the Federal Protective Service, or a qualified contractor, to include identifying technologies that control site access, conduct site surveillance, and provide early warning of unauthorized intrusion as part of the alternate facility's physical security program. [FCD 1 Annex G, Page G-5, Planning Considerations, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.31	Agency alternate facilities, to include virtual office options including telework, provided sufficient levels of information security to protect against all threats as identified in the facility's risk assessment and information security surveys by the agency's Information Technology office. [FCD 1 Annex G, Page G-5, Planning Considerations, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.32*	Agency verified that all systems, communications, and other required capabilities were available and operational at the new or restored facility and that the agency was fully capable of accomplishing all essential functions and operations at the new or restored facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.33	Agency accessed the status of affected facilities. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.34	Agency determined how much time is needed to repair the affected facility and/or to acquire a new facility. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.35	Agency supervised facility repairs. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.36	Agency notified decision makers of the status of repairs, including estimates of when the repairs will be completed. [FCD 1 Annex N, Page N-6, Reconstitution, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.37	Agency implemented a priority-based phased approach to reconstitution. [FCD 1 Annex N, Page N-6, Reconstitution, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.38	Agency informed all personnel that the actual emergency or threat of an emergency no longer existed. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.39	Agency instructed personnel on how to resume normal operations. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.40	Agency supervised a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.41	Agency reported the status of the relocation to a new or restored facility to the FEMA Operations Center (FOC), to include submitting a Continuity Status Reporting Form only if this form contains more information beyond what has been reported to the FOC, using the form and procedures provided by FEMA's National Continuity Programs Directorate. [FCD 1 Annex M, Page M-1, Implementation, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.42	Agency identified any records affected by the incident. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.43	Agency worked with its records office (or similar function in the agency) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.44	Agency conducted an after-action review upon return to its restored or new primary facility to determine the effectiveness of its continuity of operations plans and procedures. [FCD 1 Annex N, Page N-6, Reconstitution, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.45	Agency after-action review of its continuity of operations plans and procedures identified aspects of the continuity of operations plans and procedures that needed correction along with areas for improvement and assigned responsibility for making those corrections and improvements. [FCD 1 Annex N, Page N-6, Reconstitution, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.46	Agency documented findings in the agency corrective action plan (CAP). [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.47	Agency developed a remedial action plan as soon as possible after the reconstitution. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Tasks	N.1*	N.2*	N.3	N.4	N.5	N.6	N.7	N.8	N.9	N.10	N.11	N.12	N.13	N.14	N.15	N.16*	Total
Yes																	
No																	
N/A																	

Tasks	N.17*	N.18*	N.19*	N.20*	N.21*	N.22	N.23	N.24	N.25	N.26	N.27	N.28	N.29	N.30	N.31	N.32*	Total
Yes																	
No																	
N/A																	

Tasks	N.33	N.34	N.35	N.36	N.37	N.38	N.39	N.40	N.41	N.42	N.43	N.44	N.45	N.46	N.47	Total
Yes																
No																
N/A																

An Asterisk (*) after a task number denotes critical task item.