

## ***CONTINUITY EVALUATION TOOL: VERSION 7***

The Continuity Evaluation Tool is designed to assess elements of continuity outlined in the annexes of Federal Continuity Directives 1 and 2 (FCDs 1 and 2). The purpose of the Continuity Evaluation Tool is to support the Readiness Reporting System (RRS) in evaluating any organization's continuity programs, plans and procedures. The Continuity Evaluation Tool serves as the off-line version of the RRS and includes all compliance and implementation questions found within the RRS. Exercise evaluators will use the Continuity Evaluation Tool in conjunction with the RRS to conduct evaluations during the annual Eagle Horizon and any other continuity-based exercises. Use of the RRS and Continuity Evaluation Tool to evaluate exercises over multiple years is encouraged to establish a baseline that demonstrates the extent to which organizations have implemented and improved their continuity plans and procedures.

Within the Continuity Evaluation Tool, there are 14 continuity elements to evaluate, which correspond with 14 of the 17 annexes found in FCD 1 and the essential functions portion of FCD 2. 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 RRS and allows an organization 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.

Questions within the Continuity Questionnaire are arranged within the continuity elements they support. The individual continuity questions that comprise each continuity element are then categorized within that element according to their significance to that element (i.e. - All questions are not equal in criticality). This categorization of questions (Category 1, Category 2 and Category 3 Questions) forms the basis of the final assessed value for the continuity elements.

- Category 1: Critical items that must be addressed immediately. These items are critically important for a given Continuity Element. If any of these questions are assessed as a "No" (progress score below a 7), there will be a severe degradation in that Continuity Element. If any of these items are degraded, the D/A's compliance for that element is severely degraded.
- Category 2: Items that are critical, but do not have the same sense of urgency as in Category 1. Individually, these items are not significant enough to render the D/A severely degraded for that element. However, if enough of these questions are answered "No," they would have a cumulative or synergistic effect that would severely degrade the element. In the first case, Category 2 questions could reach a cumulative threshold where they impact the assessment. In the second case, specific questions are linked to each other because they create a synergistic effect that would negatively impact the assessment. The RRS Continuity Questionnaire identifies these questions as Category 2 "Linked" questions. For a given continuity element, these Category 2 "Linked" questions are binned into groups based upon content. It is these groups of Category 2 "Linked" questions that, when assessed, could have a negative synergistic effect on the overall continuity element assessment. Category 2 "Linked" questions, when grouped, hold the same significance as a Category 1 question. As an example, when there are only two Continuity Questions in the group and both receive an assessment value in the "No" range on the progress rating scale, it will create a "Red" assessment value for the Continuity Element due to the negative synergistic effects. If both of the Continuity Questions in the group receive an assessment value in the "Yes" range, then there is positive synergistic effect on the Continuity Element. If one of the Continuity Questions in the group receives an assessment value in the "Yes" range and the other question receives a "No," then there is not enough negative synergistic effect to cause the entire Continuity Element assessment to be "Red."
- Category 3: Non-critical items. These question areas are not sufficient enough to lead to a critical deficiency or degraded compliance.

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### **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 organization’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 “Category 3” per RRS. The responses to these tasks do not impact the overall scoring for that particular element. These pre-identified tasks are shaded gray and still require a response.

### **The Continuity Evaluation Tool Element Rating Instructions:**

- Identify any “No” responses for any “critical” tasks (denoted as “Category 1” per RRS), 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”.
- Any set of linked grouped questions must have  $\geq 50\%$  of “Yes” responses. The respective continuity element automatically receives a “Red” overall rating if any linked group of questions within the element has  $< 50\%$  of “Yes” responses. Linked groups of questions, based on RRS, are found in the scoring summary table at the end of each element. Linked Group 1 questions are shaded in Orange; Linked Group 2 questions are shaded in Green; Linked Group 3 questions are shaded in Purple; and Linked Group 4 questions are shaded in Yellow. Not all elements will have linked groups of questions.
- If all critical tasks within the respective continuity element are rated “Yes” and all groups of linked questions are  $\geq 50\%$ , 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 and cross-referenced questions (which are shaded in Blue in the scoring summary table at the end of element), within all activities within the respective continuity element. Exclude any tasks rated as “N/A” or with a category rating of “3” from the total number of applicable tasks for that respective element. For each cross-referenced question, enter the score determined within the element where the task was originally scored.
- 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:

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- **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 or linked group of questions 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.”

**CONTINUITY EVALUATION TOOL: VERSION 7**

*Table A: Task Rating Criteria*

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

**CONTINUITY EVALUATION TOOL: VERSION 7**

*Table B: Element Rating Criteria*

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

**CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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 16, Item e, Bullet #3]  Comments:	Completed? Yes      No      N/A
A.2*	Agency continuity program 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      No      N/A
A.3	Agency continuity plans and procedures establish 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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 &amp; 11 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>A.5 Agency plans or procedures maintain point-of-contact (POC) rosters of trained continuity personnel who are fully equipped and have the authority to perform essential functions. Rosters are updated at intervals established by the Agency and include at a minimum names and home, work, and cellular telephone numbers. [ FCD 1 Annex A, Page A-3, Bullet #13 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; Procedures, Bullet #3 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

**Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity site(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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>A.8* Agency provides a process or methodology for attaining operational capability at the continuity site(s) within 12 hours of plan activation. [ FCD 1 Annex A, Page A-4, Bullet #18 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## ***CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES***

**Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity site(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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; Relocation, 2<sup>nd</sup> Bullet #5; FCD 1 Annex N, Page N-5, Activation &amp; Relocation, Bullet #3 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>A.11 Agency activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation with and without warning during duty hours and non-duty hours. [ FCD 1 Annex A, Page A-3, Bullets #10 &amp; 16 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>



## ***CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES***

**Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity site(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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
A.16a* Agency continuity of operations plan provides for sustained operations within 12 hours of activation and for up to 30 days or until normal operations can be resumed. [FCD 1, Annex A, Page A-4, Bullets 18 & 19]  Comments:	Completed?  Yes      No      N/A

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
A.19 Agency plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel at the continuity facilities. [ FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #2 ]  Comments:	Completed?  Yes      No      N/A
A.20 Agency plans or procedures include identification of replacement personnel and augmentees and instructions on procuring necessary personnel, equipment, and supplies that are not already in place 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; Annex N, Page N-5, Plans & Procedures, Bullet #4 ]  Comments:	Completed?  Yes      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES**

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>			
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	No	N/A
A.22*	Agency plans and procedures include instructions for the procurement and acquisition of necessary personnel, equipment, and resources that are not already in place for continuity operations on an emergency basis to sustain operations for 30 days or until normal operations can be resumed. [FCD 1 Annex A, Page A-2, Bullets #5 and Page A-4, Bullet #24]	Completed?	Yes	No	N/A
A.23*	Agency continuity of operations security strategy address personnel, physical, and information security. [FCD 1, Page 4]  Comments:	Completed?	Yes	No	N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; PROGRAM PLANS AND PROCEDURES**

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

Tasks	A.13	A.14	A.15	A.16a*	A.17*	A.18	A.19	A.20	A.21	A.22*	A.23*	M.1*	Total
Yes													
No													
N/A													

An Asterisk (\*) after a task number denotes critical task item. **Element Color Determination:**    of    applicable tasks are “Yes”;    of 10 critical tasks are “No”; and    of    linked groups of questions <50% =   

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	

**CONTINUITY EVALUATION TOOL: VERSION 7; RISK MANAGEMENT**

**Risk Management**

**Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

<b>Capability Description:</b> The assessment and management of risk underlies the full spectrum of our national continuity program management, including decisions about when, where, and how to invest in resources that eliminate, control, or mitigate risks. In the face of multiple and diverse catastrophic possibilities, it is accepted that risk - a function of threats, vulnerabilities, and consequences - is a permanent condition. Therefore, a risk-based framework must be applied across all national continuity efforts in order to identify and assess potential hazards (including their downstream effects), determine what levels of relative risk are acceptable, and prioritize and allocate resources among all national continuity partners, both public and private, to ensure national continuity under all manner of incident conditions. Applying a disciplined approach to managing risk will help to achieve best progress, long term success, and overall effectiveness and efficiency.	
<b>Jurisdiction or Organization:</b>	<b>Name of Exercise:</b>
<b>Location:</b>	<b>Date and Period of Time Evaluated:</b>
<b>Evaluator:</b>	<b>Evaluator Contact Info:</b>

**Activity 1: Identify, control, and minimize the impact of uncertain events by identifying the critical risks to organizational readiness and the strategies that best mitigate the risks.**

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

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

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
B.1*	Has the Agency identified and assessed the likelihood of potential threats to the agency’s mission and location? [FCD 1 Page 6, Risk Management] Comments:	Completed? Yes      No      N/A
B.2	Has the Agency identified those scenarios that pose unacceptably high levels of risk to the agency’s mission? [FCD 1 Annex B, Page B-2, Phase 2, 3 <sup>rd</sup> Bullet] Comments:	Completed? Yes      No      N/A
B.3	Has the Agency identified mitigation strategies that reduce either the likelihood or consequence of high-risk scenarios? [FCD 1 Annex B, Page B-3, Phase 3, 1 <sup>st</sup> & 2 <sup>nd</sup> Bullets] Comments:	Completed? Yes      No      N/A

## **CONTINUITY EVALUATION TOOL: VERSION 7; RISK MANAGEMENT**

**Activity 1: Identify, control, and minimize the impact of uncertain events by identifying the critical risks to organizational readiness and the strategies that best mitigate the risks.**

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

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

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
B.4 Has the Agency worked with State, local, territorial, and tribal governments, and the private-sector to identify interdependencies and enhance resiliency with critical infrastructure and services? [FCD 1 Page 11, Section 10] Comments:	Completed? Yes      No      N/A
B.5 Has the agency implemented selected mitigation strategies? [FCD 1 Annex B, Page B-4, Phase 5, 1 <sup>st</sup> Bullet] Comments:	Completed? Yes      No      N/A
B.6 Does the Agency have a multiyear strategy and program management plan to apply risk management principles? [FCD 1 Page 6, Paragraph #1, Bullet i] Comments:	Completed? Yes      No      N/A

**Activity 2: Assess the risk to each continuity facility and identify acceptable level of risk to each facility.**

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

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

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
B.7 Agency risk assessment included a vulnerability assessment that determined the effects of all hazards on each continuity facility. [ FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1 ] Comments:	Completed? Yes      No      N/A
B.8 Agency risk assessment included a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each continuity facility. [ FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1 ] Comments:	Completed? Yes      No      N/A
B.9 Agency risk assessment included a formal analysis by management of acceptable risk for each continuity facility. [ FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1 ] Comments:	Completed? Yes      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; RISK MANAGEMENT**

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

An Asterisk (\*) after a task number denotes critical task item. Element Color Determination: \_\_\_ of \_\_\_ applicable tasks are “Yes”; \_\_\_ of 1 critical task is “No”; and \_\_\_ of 1 linked groups of questions <50% = \_\_\_\_\_

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: _____	Total # of applicable tasks: _____	YES tasks / Applicable tasks: ____ / ____ = ____%	

**CONTINUITY EVALUATION TOOL: VERSION 7; BUDGETING AND ACQUISITION OF RESOURCES**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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      No      N/A
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      No      N/A    X
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      No      N/A    X
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      No      N/A    X
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, 2nd Paragraph; FCD 1, Page C-1, Continuity Capabilities Bullet #1 ] Comments:	Completed? Yes      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; BUDGETING AND ACQUISITION OF RESOURCES**

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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      No      N/A
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      No      N/A

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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      No      N/A



**CONTINUITY EVALUATION TOOL: VERSION 7; BUDGETING AND ACQUISITION OF RESOURCES**

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. Element Color Determination:    of    applicable tasks are “Yes”;    of   2   critical tasks are “No”; and    of   0   linked groups of questions <50% =       

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? N/A	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	

**CONTINUITY EVALUATION TOOL: VERSION 7; ESSENTIAL FUNCTIONS**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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]  Comments:	Completed? Yes      No      N/A
D.2 Deleted in RRS Version 7	Completed? Yes      No      N/A    X
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 <sup>st</sup> Bullet ]  Comments:	Completed? Yes      No      N/A
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 <sup>nd</sup> Bullet ]  Comments:	Completed? Yes      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; ESSENTIAL FUNCTIONS***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
D.5 Agency conducted a business-process flow map to identify how each MEF is performed and executed and 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 2, Bullet #2 and Page A-11] Comments:	Completed? Yes      No      N/A
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 <sup>th</sup> Bullet ] Comments:	Completed? Yes      No      N/A
D.7* Agency determined the MEFs that are associated with a National Essential Function (NEF) that need to be continued uninterrupted or resumed within 12 hours, regardless of circumstance. [ FCD 1 Annex D, Page D-5, Paragraph 1; FCD 2 Annex A, Page A-14, Potential PMEF Screening Worksheet ] Comments:	Completed? Yes      No      N/A
D.8* The agency created PMEF statements that consisted of one or more MEFs linked to NEF execution. [ FCD 1 Annex D, Page D-7, Paragraph 1; FCD 2 Annex A, Page A-16, Potential PMEF Development / PMEF Candidate Worksheet ] Comments:	Completed? Yes      No      N/A

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
D.9 Deleted in RRS Version 7	Completed? Yes      No      N/A      X
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      No      N/A

## CONTINUITY EVALUATION TOOL: VERSION 7; ESSENTIAL FUNCTIONS

**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.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 <sup>rd</sup> Bullet ]  Comments:	Completed? Yes      No      N/A
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 <sup>th</sup> Bullet ]  Comments:	Completed? Yes      No      N/A
D.13 Agency interdependencies identified within the BPA included when and where the vital support would be provided. [ FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #4; FCD 2 Annex A, Page A-2, Step 1, 4 <sup>th</sup> Bullet ]  Comments:	Completed? Yes      No      N/A

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	A.17*	Total
Yes															
No															
N/A		X							X						

*An Asterisk (\*) after a task number denotes critical task item. Element Color Determination: \_\_ of \_\_ applicable tasks are “Yes”; \_\_ of 5 critical tasks are “No”; and \_\_ of 2 linked groups of questions <50% = \_\_\_\_*

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ____	Total # of applicable tasks: ____	YES tasks / Applicable tasks: ____ / ____ = ____%	

**CONTINUITY EVALUATION TOOL: VERSION 7; ORDERS OF SUCCESSION**

**Orders of Succession**

**Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

<b>Capability Description:</b> 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.	
<b>Jurisdiction or Organization:</b>	<b>Name of Exercise:</b>
<b>Location:</b>	<b>Date and Period of Time Evaluated:</b>
<b>Evaluator:</b>	<b>Evaluator Contact Info:</b>

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; ORDERS OF SUCCESSION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
E.6 Orders of succession identified the rules and procedures designated officials must follow when facing issues of succession to office in accordance with any applicable laws and agency directives. [ FCD 1 Annex E, Page E-1, Bullet #4 ]  Comments:	Completed?  Yes      No      N/A
E.7 Agency included any 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      No      N/A
E.8 Agency included orders of succession as a vital record and copies were available at all continuity facilities. [ FCD 1 Annex E, Page E-1, Bullet #6 ]  Comments:	Completed?  Yes      No      N/A

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
E.10 Agency conducted annual successor training for personnel who may assume the authority and responsibility of the agency’s leadership 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      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; ORDERS OF SUCCESSION**

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. **Element Color Determination:** \_\_ of \_\_ applicable tasks are “Yes”; \_\_ of 3 critical tasks are “No”; and \_\_ of 1 linked groups of questions <50% = \_\_\_\_\_

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	

**CONTINUITY EVALUATION TOOL: VERSION 7; DELEGATIONS OF AUTHORITY**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
F.3 Agency included delegations of authority in the vital records. [ FCD 1 Annex F, Page F-1, Bullet #5 ] Comments:	Completed? Yes      No      N/A
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      No      N/A



## ***CONTINUITY EVALUATION TOOL: VERSION 7; DELEGATIONS OF AUTHORITY***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A

**Activity 2: Inform and train key agency officials on the agency delegations of authority, recording all training sessions within agency training records, so that the agency can transfer leadership authority in an orderly manner, when applicable, during a response to 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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
F.9 Agency provided annual training 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      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; DELEGATIONS OF AUTHORITY**

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. **Element Color Determination:**    of    applicable tasks are “Yes”;    of   4   critical tasks are “No”; and    of   1   linked groups of questions <50% =       

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: <u>      </u>	Total # of applicable tasks: <u>      </u>	YES tasks / Applicable tasks: <u>      </u> / <u>      </u> = <u>      </u> %	

**CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY FACILITIES**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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 <sup>st</sup> Sentence ]  Comments:	Completed? Yes      No      N/A
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      No      N/A
G.3* Agency had a signed Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) and reviewed it annually for all alternate facilities 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      No      N/A
G.4 Deleted in RRS Version 7	Completed? Yes      No      N/A      X

## ***CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY FACILITIES***

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>				
G.5	Agency conducted an all-hazards risk assessment to identify hazards that may affect the continuity facilities, an analysis of acceptable risk, and a cost-benefit analysis of implementing risk mitigation, prevention or control measures. [ FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1 ]  Comments:	Completed?	Yes	No	N/A	
G.6	Deleted in RRS Version 7	Completed?	Yes	No	N/A	X
G.7	Deleted in RRS Version 7	Completed?	Yes	No	N/A	X
G.8	Deleted in RRS Version 7	Completed?	Yes	No	N/A	X
G.9	Agency annually reevaluated its alternate facilities, to include virtual office options or telework, for suitability and functionality, whenever the agency's continuity plans were reviewed and updated. [ FCD 1 Annex G, Page G-5, Acquisition Process, Paragraph 2 ]  Comments:	Completed?	Yes	No	N/A	
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	No	N/A	

## ***CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY FACILITIES***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; #6 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>G.15 Agency evaluated daily operating facilities for hardiness in accordance with Interagency Security Commission Standards or applicable agency standards. [ FCD 1 Annex G, Page G-1, Paragraph 2 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>G.17 Agency plans and procedures identified the interoperable communications systems, including secure communications as appropriate, for effective interaction with essential internal and external organizations, as well as with customers and the public, from all alternate facilities, to include virtual office options and telework. [ FCD 1 Annex G, Page G-1, Bullet #5 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## ***CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY FACILITIES***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
G.18* Agency alternate facilities, to include virtual office options including telework, had 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      No      N/A

**Activity 3: Provide survivable protection and sustain continued, endurable 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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
G.20 Within the past year, agency trained and prepared personnel for 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      No      N/A
G.21 Agency continuity plan has a transportation support element which identifies resource requirements and procedures for transportation to/from the site for continuity events both with warning and with-out warning and on the site, as applicable. [ FCD 1 Annex G, Page G-4, Planning Considerations, Bullets #1d & #7 ]  Comments:	Completed? Yes      No      N/A
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      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY FACILITIES**

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				X		X	X	X				

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. Element Color Determination:    of    applicable tasks are “Yes”;    of   8   critical tasks are “No”; and    of   3   linked groups of questions <50% =   

All critical tasks YES? Yes / No (circle one)							
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 4 tasks ≥50%? N/A				
Total # of tasks that are YES: <u>  </u>	Total # of applicable tasks: <u>  </u>	YES tasks / Applicable tasks: <u>  </u> / <u>  </u> = <u>  </u> %					

**CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY COMMUNICATIONS**

**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.

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

**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.1*	The Agency implemented the minimum communications requirements 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). This is done in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 as applicable (continuity communications). [FCD 1 Annex H, Page H-1, Bullet #1]  Comments:	Completed? Yes      No      N/A
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, 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, Paragraphs 3 and 5]  Comments:	Completed? Yes      No      N/A



## **CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY COMMUNICATIONS**

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters, 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, Paragraphs 4 and 5]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## CONTINUITY EVALUATION TOOL: VERSION 7; CONTINUITY COMMUNICATIONS

**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.8 Agency trained continuity personnel 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      No      N/A
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      No      N/A
H.10a* Has the agency chosen communications and IT systems with resilient characteristics which are capable of operation under conditions that may involve power or other infrastructure disruptions? [FCD 1 Page 9 Paragraph e.]  Comments:	Completed? Yes      No      N/A

Tasks	H.1*	H.2*	H.3*	H.4*	H.5	H.6	H.7*	H.8	H.9	H.10a*	G.17	Total
Yes												
No												
N/A												

*An Asterisk (\*) after a task number denotes critical task item. Element Color Determination: \_\_\_ of \_\_\_ applicable tasks are “Yes”; \_\_\_ of 6 critical tasks are “No”; and \_\_\_ of 0 linked groups of questions <50% = \_\_\_\_\_*

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? N/A	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: _____	Total # of applicable tasks: _____	YES tasks / Applicable tasks: ____ / ____ = ____%	

**CONTINUITY EVALUATION TOOL: VERSION 7; VITAL RECORDS MANAGEMENT**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
I.5* Agency developed and 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 and Page I-3, Bullet #9b ] Comments:	Completed? Yes      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; VITAL RECORDS MANAGEMENT***

### **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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
I.6 Vital records were 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      No      N/A
I.7 Agency inventory of vital records is maintained at a backup/offsite location. [ FCD 1 Annex I, Page I-2, Bullet #5 ] Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A

### **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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
I.11 Deleted in RRS Version 7	Completed? Yes      No      N/A      X
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; VITAL RECORDS MANAGEMENT***

### **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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
I.17 Agency annual review of its vital records plan packet or collection included the date and names of the personnel who conducted the review with a copy of the review maintained at the agency's alternate facility and other continuity locations. [ FCD 1 Annex I, Page I-3, Below Bullet #9h ] Comments:	Completed? Yes      No      N/A

### **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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; VITAL RECORDS MANAGEMENT***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>I.19a Agency conducted annual training for continuity staff 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, as reflected in agency training records. [ FCD 1 Annex I, Page I-3, Bullet #10; FCD 1 Annex K, Page K-2, Bullet #8 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>I.19b The Agency training program included 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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>I.21 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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

**CONTINUITY EVALUATION TOOL: VERSION 7; VITAL RECORDS MANAGEMENT**

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

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

An Asterisk (\*) after a task number denotes critical task item. Element Color Determination:    of    applicable tasks are “Yes”;    of   4   critical tasks are “No”; and    of   3   linked groups of questions <50% =       

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	

**CONTINUITY EVALUATION TOOL: VERSION 7; HUMAN CAPITAL**

# Human Capital

**Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

<b>Capability Description:</b> 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.	
<b>Jurisdiction or Organization:</b>	<b>Name of Exercise:</b>
<b>Location:</b>	<b>Date and Period of Time Evaluated:</b>
<b>Evaluator:</b>	<b>Evaluator Contact Info:</b>

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>			
J.1*	Agency head or designee had identified, designated and documented those positions and personnel he or she judged to be critical to agency operations in any given emergency situation such as members of the emergency relocation group (ERG). [FCD 1 Annex J, Page J-1, Bullet #1, Last Paragraph ]  Comments:	Completed?	Yes	No	N/A
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	No	N/A
J.3	Deleted in RRS Version 7	Completed?	Yes	No	N/A X
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	No	N/A
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	No	N/A



## ***CONTINUITY EVALUATION TOOL: VERSION 7; HUMAN CAPITAL***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A

**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.**

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
J.10 Agency provided guidance to continuity personnel on individual preparedness measures to ensure response to a continuity event. [ FCD 1 Annex J, Page J-2, Bullet #2 ] Comments:	Completed? Yes      No      N/A
J.11 Agency instituted methods for staff to become 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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; HUMAN CAPITAL***

<b>Activity 3: Develop and integrate human capital strategies for all agency personnel during a continuity activation.</b>
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**Tasks Observed (check those that were observed and provide the time of observation)**

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

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; HUMAN CAPITAL**

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	A.5	A.18	A.20	A.21	Total
Yes																				
No																				
N/A																				

An Asterisk (\*) after a task number denotes critical task item. **Element Color Determination:** \_\_ of \_\_ applicable tasks are “Yes”; \_\_ of 4 critical tasks are “No”; and \_\_ of 3 linked groups of questions <50% = \_\_\_\_\_

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	

**CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM**  
**Test, Training, and Exercise Program**

**Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
K.2* Agency conducted quarterly testing of alert, notification, and activation procedures for all continuity personnel at Agency Headquarters. [ FCD 1 Annex K, Page K-1, Bullet #1 ] Comments:	Completed? Yes      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
K.6 Deleted in RRS Version 7	Completed? Yes      No      N/A    X
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
K.14 Agency conducted briefings for continuity personnel 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      No      N/A
K.15 Agency conducted annual training for continuity personnel on 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      No      N/A
K.16 Agency documented all training sessions to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given. Agencies will submit an annual report on its continuity training program to FEMA. [ FCD 1 Annex K, Page K-2, Training Section, Last Paragraph ] Comments:	Completed? Yes      No      N/A

## **CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM**

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
K.18 Agency exercise 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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
K.24 Agency conducted a comprehensive debriefing or hot wash 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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
K.29 Agency continuity personnel reported the findings of all annual continuity assessments as directed to FEMA. [ FCD 1 Annex K, Page K-3, Bullet #10 ] Comments:	Completed? Yes      No      N/A
K.30 Agency CAP identified continuity deficiencies and other areas requiring improvement. [ FCD 1 Annex K, Page K-3, Bullet #12a ] Comments:	Completed? Yes      No      N/A
K.31 Agency CAP provided responsibilities and a timeline for corrective action. [ FCD 1 Annex K, Page K-3, Bullet #12a ] Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A



## ***CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
K.35 The agency TT&E process utilizes an all-hazards approach to demonstrate the viability of their continuity plans and programs. [ FCD 1 Page 10, Section 9, Sub-section h ] Comments:	Completed? Yes          No          N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; TEST, TRAINING, AND EXERCISE PROGRAM**

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	Total
Yes															
No															
N/A						X									

Tasks	K.15	K.16	K.17	K.18	K.19	K.20	K.21	K.22	K.23	K.24	K.25	K.26	K.27	K.28	Total
Yes															
No															
N/A															

Tasks	K.29	K.30	K.31	K.32	K.33	K.34	K.35	E.10	J.9	I.19a	I.19b	I.20	L.9		Total
Yes															
No															
N/A															

An Asterisk (\*) after a task number denotes critical task item. Element Color Determination:    of    applicable tasks are “Yes”;    of   7 critical tasks are “No”; and    of   4 linked groups of questions <50% =   

All critical tasks YES? Yes / No (circle one)					
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 4 tasks ≥50%? Yes / No / N/A (circle one)		
Total # of tasks that are YES: <u>  </u>	Total # of applicable tasks: <u>  </u>	YES tasks / Applicable tasks: <u>  </u> / <u>  </u> = <u>  </u> %			

**CONTINUITY EVALUATION TOOL: VERSION 7; DEVOLUTION OF CONTROL AND DIRECTION**  
**Devolution of Control and Direction** **Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

<b>Capability Description:</b> 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.	
<b>Jurisdiction or Organization:</b>	<b>Name of Exercise:</b>
<b>Location:</b>	<b>Date and Period of Time Evaluated:</b>
<b>Evaluator:</b>	<b>Evaluator Contact Info:</b>

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
L. 2* Agency devolution plan identified the prioritized essential functions and defined the tasks that support those essential functions. [ FCD 1 Annex L, Page L-1, Bullet #2 ]  Comments:	Completed? Yes      No      N/A
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      No      N/A

## **CONTINUITY EVALUATION TOOL: VERSION 7; DEVOLUTION OF CONTROL AND DIRECTION**

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>L.8 Agency established and maintained reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those devolution operations for extended periods. [ FCD 1 Annex L, Page L-1, Bullet #7 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## CONTINUITY EVALUATION TOOL: VERSION 7; DEVOLUTION OF CONTROL AND DIRECTION

**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.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, 2nd to Last Sentence ]  Comments:	Completed? Yes      No      N/A
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      No      N/A

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.* **Element Color Determination:**    of    applicable tasks are “Yes”;    of   5   critical tasks are “No”; and    of   1   linked groups of questions <50% =       

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: <u>      </u>	Total # of applicable tasks: <u>      </u>	YES tasks / Applicable tasks: <u>      </u> / <u>      </u> = <u>      </u> %	

**CONTINUITY EVALUATION TOOL: VERSION 7; RECONSTITUTION OPERATIONS**

**Reconstitution Operations**

**Element Color Determination: \_\_\_\_\_**

*Exercise Evaluation Guide*

<b>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.</b>	
<b>Jurisdiction or Organization:</b>	<b>Name of Exercise:</b>
<b>Location:</b>	<b>Date and Period of Time Evaluated:</b>
<b>Evaluator:</b>	<b>Evaluator Contact Info:</b>

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; RECONSTITUTION OPERATIONS***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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<sup>st</sup> Bullet #3 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## ***CONTINUITY EVALUATION TOOL: VERSION 7; RECONSTITUTION OPERATIONS***

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
M.13	Agency developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures after reconstitution. [ FCD 1 Annex M, Page M-1, Implementation, Bullet #5 ]  Comments:	Completed? Yes      No      N/A
M.14	Agency developed a plan and procedure to identify areas for improvement from the After Action Review (AAR) and documented those findings in the Corrective Action Plan (CAP). [ FCD 1 Annex M, Page M-1, Implementation, Bullet #5 ]  Comments:	Completed? Yes      No      N/A
M.15	Deleted in RRS Version 7	Completed? Yes      No      N/A    X
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      No      N/A



**CONTINUITY EVALUATION TOOL: VERSION 7; RECONSTITUTION OPERATIONS**

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															X		

An Asterisk (\*) after a task number denotes critical task item. Element Color Determination:    of    applicable tasks are “Yes”;    of   2   critical tasks are “No”; and    of   2   linked groups of questions <50% =       

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 2 tasks ≥50%? Yes / No / N/A (circle one)	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: <u>      </u>	Total # of applicable tasks: <u>      </u>	YES tasks / Applicable tasks: <u>      </u> / <u>      </u> = <u>      </u> %	

**CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION**

**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.

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

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
N.5 Agency utilized the appropriate 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      No      N/A
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 ]  Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## **CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION**

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; Procedures, Bullet #2 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; Relocation Phases, Bullet #6 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>
<p>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 &amp; Relocation, Plans &amp; Procedures, Bullet #6 ]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes      No      N/A</p>

## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
N.24 Agency continuity personnel understood their roles and responsibilities. [ FCD 1 Annex J, Page J-2, Paragraph 3 ] Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
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      No      N/A
N.33 Agency assessed the status of affected facilities. [ FCD 1 Annex N, Page N-5, Reconstitution, Bullet #1 ]  Comments:	Completed? Yes      No      N/A
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      No      N/A
N.35 Agency supervised facility repairs. [ FCD 1 Annex N, Page N-5, Reconstitution, Bullet #3 ]  Comments:	Completed? Yes      No      N/A
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      No      N/A

## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>	<b>Task Status</b>
N.37* Agency implemented a priority-based phased approach to reconstitution. [ FCD 1 Annex N, Page N-6, Reconstitution, Bullet #5 ] Comments:	Completed? Yes      No      N/A
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      No      N/A
N.39 Agency instructed personnel on how to resume normal operations. [ FCD 1 Annex M, Page M-1, Implementation, Bullet #1 ] Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A
N.42 Agency identified any records affected by the incident. [ FCD 1 Annex M, Page M-1, Implementation, Bullet #6 ] Comments:	Completed? Yes      No      N/A
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      No      N/A
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      No      N/A



## ***CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION***

**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.*

<b>Tasks/Observation Keys</b>		<b>Task Status</b>
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      No      N/A
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      No      N/A
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      No      N/A

**CONTINUITY EVALUATION TOOL: VERSION 7; OPERATIONAL PHASES AND IMPLEMENTATION**

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. **Element Color Determination:**    of    applicable tasks are “Yes”;    of 12 critical tasks are “No”; and    of    linked groups of questions <50% =   

All critical tasks YES? Yes / No (circle one)			
Linked Group 1 tasks ≥50%? N/A	Linked Group 2 tasks ≥50%? N/A	Linked Group 3 tasks ≥50%? N/A	Linked Group 4 tasks ≥50%? N/A
Total # of tasks that are YES: ___	Total # of applicable tasks: ___	YES tasks / Applicable tasks: ___ / ___ = ___%	