



CONTINUITY OF OPERATIONS

EXERCISE EVALUATION GUIDES

February 19, 2015

Example of Discussion-Based Exercise Evaluation Guides

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

DEVOLUTION OF CONTROL AND DIRECTION

Exercise Objective:	Assess the agency's ability to effectively transfer roles and responsibilities for conduct of its essential functions to an alternate organization(s). <i>(CGC1, K-2, 15 & L-2, 3-6)</i>	
Continuity Element:	The transition of roles and responsibilities for performance of essential functions through pre-authorized delegation of authority and responsibility. The authorities are delegated from an organization's primary staff to other employees internal or external to the organization in order to sustain essential functions for an extended period.	
Continuity Capability Target 1:	Discuss how and when direction and control of agency operations will be transferred to and from the devolution site. <i>(CGC1, L-2, 6)</i>	
Critical Task:	Identify what events and/or conditions would likely trigger the devolution option. <i>(CGC1, L-2, 5)</i>	
Critical Task:	List necessary resources, such as equipment and materials to facilitate the performance of essential functions at the devolution site. <i>(CGC1, L-2, 7)</i>	
Critical Task:	Review processes and procedures for acquiring resources necessary to continue essential functions and to sustain those operations for extended periods. <i>(CGC1, L-2, 8)</i>	
Critical Task:	Discuss procedures to transition responsibilities to personnel at the primary operating facility upon termination of devolution. <i>(CGC1, L-2, 9)</i>	
Source(s):	Annex L (Devolution of Control and Direction) to CGC 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

RECONSTITUTION OPERATIONS

Exercise Objective:	Examine the Reconstitution Team's ability to discuss a time-phased plan, listing functions and projects in order or priority, for resuming normal operations based on their COOP plan during a continuity incident. <i>(CGC1, K-2, 15)</i>	
Continuity Element:	The process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility.	
Continuity Capability Target 1:	The Reconstitution Team will discuss the development of a time-phased plan, to resume normal operations within [time] hours of a continuity incident. <i>(CGC1, M-1, 1b)</i>	
Critical Task:	Discuss how a meeting would be convened with Reconstitution Team members. <i>(CGC1, M-1, 1d)</i>	
Critical Task:	Discuss how to conduct a damage assessment. <i>(CGC1, M-1, 1a)</i>	
Critical Task:	Discuss the implementation of MOUs with organizations that assist in acquiring new office space, furniture, and IT equipment. <i>(CGC1, M-1, 1e and Agency COOP Plan)</i>	
Critical Task:	Discuss procedures to be used in contracting for facility repairs and purchase of new furniture and equipment. <i>(CGC1, M-1, 1c & 1e)</i>	
Source(s):	Annex M (Reconstitution Operations) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ESSENTIAL FUNCTIONS

Exercise Objective:	Assess the needs and ability of the ERG to implement essential functions at the alternate facility within ___ hours of the continuity incident. <i>(CGI, D1, 5)</i>	
Continuity Element:	A subset of government functions that are determined to be critical activities. Those functions an organization must continue in a continuity situation, whether the functions are STTEFs, MEFs or Essential Supporting Activities. <i>(CGI, D1)</i>	
Continuity Capability Target 1:	Discuss actions required of the ERG to perform Essential Functions within ___ hours of the continuity incident. <i>(CGI, D1, 5)</i>	
Critical Task:	Discuss ERG team procedures and resources required to conduct MEFs. <i>(CGI, D1, 3a)</i>	
Critical Task:	Analyze scalable response to continuity incidents. <i>(Agency COOP Plan)</i>	
Critical Task:	Review and prioritize Essential Functions. <i>(CGI, D1, 1)</i>	
Critical Task:	Discuss cross-training of ERG members to ensure performance of MEFs during personnel shortages. <i>(CGI, D2, 8)</i>	
Source(s):	Annex D (Essential Functions) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ESSENTIAL FUNCTIONS

Exercise Objective:	Assess the ERG’s needs and ability to perform agency essential functions at the alternate facility within __ hours of notification of the continuity incident. (CGCI, D1, 5)
Continuity Element:	Essential Functions are a subset of government functions that are determined to be critical activities. Those functions an organization must continue in a continuity situation, whether the functions are STTEFs, MEFs or Essential Supporting Activities. (CGCI, D1)
Continuity Capability Target 2:	Analyze ERG capabilities required to perform the agency’s essential functions. (CGC1, D-1, 5)
Critical Task:	Review agency alert, notification, and activation procedures for continuity and devolution personnel and personnel at agency headquarters. (Agency COOP Plan)
Critical Task:	Assess the required contents of ERG members’ personal drive-away kits as listed in the agency’s continuity of operations plan requirements. (Agency COOP Plan)
Critical Task:	Assess the required contents of section drive-away kits as listed in the agency’s continuity of operations plan requirements. (Agency COOP Plan)
Critical Task:	Review plans and resource requirements to conduct the deliberate and pre-planned movement of ERG personnel, equipment and essential records to an alternate site. (CGC1, K-3, 22a)
Source(s):	Annex D (Essential Functions) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:		Target rating:
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EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
ESSENTIAL RECORDS MANAGEMENT		
Exercise Objective:	Assess the ability of the ERG to protect, transport, and access essential records from an alternate facility within the Recovery Time Objectives. <i>(CGC1, K-2, 7 & I-2, 3,9&10)</i>	
Continuity Element:	Management of information systems and applications, electronic and hard copy documents, references and records needed to support essential functions during a continuity incident.	
Continuity Capability Target 1:	ERG will review procedures to retrieve and access essential records. <i>(CGC1, I-2, 7&9)</i>	
Critical Task:	Discuss how to conduct a damage assessment of essential records. <i>(Agency COOP Plan)</i>	
Critical Task:	Review inventory procedures: archive data versus current data. <i>(CGC1, I-2, 4)</i>	
Critical Task:	Review physical security and information security procedures and access controls for essential records. <i>(CGC1, I-2, 7&9)</i>	
Critical Task:	Discuss logistics required to retrieve and transport essential records <i>(Agency COOP Plan)</i>	
Source(s):	Annex I (Essential Records Management) to CGC 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ORDERS OF SUCCESSION

Exercise Objective:	<p>Discuss agency procedures to notify and transfer responsibilities of executive leadership to designated successor(s) within __ hours of a continuity incident. <i>(CGC1,K-2,16 & CGC1E-1,1)</i></p>	
Continuity Element:	<p>A formal, sequential listing of organization positions (other than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.</p>	
Continuity Capability Target 1:	<p>Review notification protocols and methods to ensure smooth transition of responsibilities to successor within __ hours of notification.. <i>(CGC1, E-1, 1)</i></p>	
Critical Task:	<p>Discuss communications methods for notifying successor and review contact information to ensure accuracy. <i>(Agency COOP Plan)</i></p>	
Critical Task:	<p>Review protocols for assumption of leadership positions. <i>(Agency COOP Plan)</i></p>	
Critical Task:	<p>Identify triggers for invoking orders of succession. <i>(Agency COOP Plan)</i></p>	
Critical Task:	<p>List parties that need to be notified and the appropriate notification method for each. <i>(CGC1, E-2,9)</i></p>	
Source(s):	<p>Annex E (Orders of Succession) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan</p>	
Observation Notes:		<p>Target rating:</p> <p style="text-align: right;">8</p>

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

DELEGATIONS OF AUTHORITY

Exercise Objective:	<p>Discuss the process for delegation of authority by Executive Staff to pre-designated personnel within ___ hours of notification of a continuity incident in order to ensure the orderly and pre-defined transition of leadership responsibilities within the organization. <i>(CGC1, K-3, 19 & F-1, 1)</i></p>	
Continuity Element:	<p>Identification by position of the authorities for making policy determinations and decisions at HQ, regional and field levels, and all other organizational locations.</p>	
Continuity Capability Target 1:	<p>Assess protocols to enact delegations of authority by pre-designated personnel. <i>(CGC1, F-1, 1A)</i></p>	
Critical Task:	<p>Review rules and procedures leadership must follow for delegation of authority. <i>(CGC1, F-1, 1C)</i></p>	
Critical Task:	<p>Review limits of delegation of authority and accountability. <i>(CGC1, F-1, 1B)</i></p>	
Critical Task:	<p>Discuss necessary training for assumed duties. <i>(CGC1, F-2, 2)</i></p>	
Source(s):	<p>Annex F (Delegation of Authority) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan</p>	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

CONTINUITY FACILITIES

Exercise Objective:	Review and assess procedures used by the ERG to access the alternate facility and establish site operability within __ hours of arrival. <i>(CGC1, K-2, 8-9 & G-2, 2)</i>
Continuity Element:	Refers both to continuity and devolution sites where essential functions are continued or resumed during a continuity incident. These sites refer not only to other facilities and locations but also work arrangements such as telework and mobile work concepts.
Continuity Capability Target 1:	Assess existing physical and information security requirements of ERG, support staff, contractors and vendors necessary to gain access and work in the alternate facility. <i>(CGC1, K-2, 8-9 & G-3, 10)</i>
Critical Task:	Discuss security procedures for ERG, support staff, contractors and vendors to access the alternate facility, to include orientation, in-processing, and reception of the ERG. <i>(CGC1, G-3, 8)</i>
Critical Task:	Analyze physical security procedures of the ERG and alternate facility to provide perimeter, access, and internal security against all threats identified in the facility's risk assessment and physical security surveys. <i>(CGC1, G-4, 10K)</i>
Critical Task:	Analyze information security procedures of the ERG and alternate facility to provide security against cyber and human-caused threats identified in the facility's risk assessment and physical security surveys. <i>(CGC1, G-3, 10-C)</i>
Critical Task:	Review the MOA/MOU with the alternate facility to ensure that physical and information security considerations are adequately addressed. <i>(CGC1, G-3, 7)</i>
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating: 10
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EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

CONTINUITY FACILITIES

Exercise Objective:	Review and assess procedures used by the ERG to access the alternate facility and establish site operability within ___ hours of arrival. <i>(CGC1, K-2, 8-9 & G-2, 2)</i>
Continuity Element:	Refers both to continuity and devolution sites where essential functions are continued or resumed during a continuity incident. These sites refer not only to other facilities and locations but also work arrangements such as telework and mobile work concepts.
Continuity Capability Target 2:	The ERG Team will establish site operability to perform Essential Functions within ___ hours of arrival at the continuity facility. <i>(CGC1, K-1, 8 & G-3, 10E)</i>
Critical Task:	Examine the availability of essential support services such as food, water, fuel, medical facilities, housing and municipal services to ensure the health, safety, and security of ERG members. <i>(CGC1, G-3, 10G)</i>
Critical Task:	Compare emergency/back-up power requirements to on-site capabilities so that essential functions and operations can continue in the event that the primary source of power is disrupted. <i>(CGC1, G-4, 10H)</i>
Critical Task:	Assess on-site availability of computers, software, and other automated data processing equipment necessary to carry out essential functions and ensure information systems are up-to-date with latest software and system updates. <i>(CGC1, G-3, 10C)</i>
Critical Task:	Review pre-positioning of critical supplies and equipment in order to achieve full operational capability and maintain this capability for up to 30 days or until normal operations can resume. <i>(CGC1, G-3, 5)</i>
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating: 11
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EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
CONTINUITY COMMUNICATIONS		
Exercise Objective:	Assess primary and back-up voice, video and data communications systems needed by ERG and agency leadership to perform Essential Functions within RTOs. <i>(CGC1, K-2, 8&10 & H-1, 7)</i>	
Continuity Element:	Voice, video and data capabilities that enable the leadership and staff to conduct the Essential Functions of their organization.	
Continuity Capability Target 1:	Review continuity notification systems capabilities. <i>(CGC1, H-1, 5)</i>	
Critical Task:	Review notification procedures. <i>(Agency COOP Plan)</i>	
Critical Task:	Discuss redundant notification systems capabilities. <i>(CGC1, H-1, 2&5)</i>	
Critical Task:	Review the message approval process. <i>(Agency COOP Plan)</i>	
Source(s):	Annex H (Continuity Communications) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

CONTINUITY COMMUNICATIONS

Exercise Objective:	Assess primary and back-up voice, video and data communications systems needed by ERG and agency leadership to perform Essential Functions within RTOs. <i>(CGC1, K-2, 8&10 & H-1, 7)</i>
Continuity Element:	Voice, video and data capabilities that enable the leadership and staff to conduct the Essential Functions of their organization.
Continuity Capability Target 2:	Assess the alternate facility's communications capabilities needed to support performance of Essential Functions. <i>(CGC1, H-1, 7)</i>
Critical Task:	Compare agency's communications support needs to systems and assets available at continuity facility (including devolution site). <i>(CGC1, H-1, 1&4)</i>
Critical Task:	Discuss the availability of support communications in transit to the continuity facility. <i>(CGC1, H-1, 3)</i>
Critical Task:	Assess the availability of back-up communications systems and assets. <i>(CGC1, H-1, 5)</i>
Critical Task:	Review MOU/MOA to ensure access to alternate facility's communications assets and systems. <i>(CGC1, H-1, 6)</i>
Source(s):	Annex H (Continuity Communications) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating:
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EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
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HUMAN RESOURCES

Exercise Objective:	Assess procedures used by Human Resources to provide information and services to employees and family members within __ hours of activation. (CGC1, K-2, 15 & J-3, 14)	
Continuity Element:	During a continuity incident, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties. Organizations are also responsible for supporting employees who are not designated as ERG personnel but who may also be affected by a continuity activation.	
Continuity Capability Target 1:	Assess capabilities and procedures to provide personnel services. (CGC1, J-2, 7)	
Critical Task:	Review likely personnel issues and general plans for response. (Agency COOP Plan)	
Critical Task:	Assess internal and external service needs. (Agency COOP Plan)	
Critical Task:	Discuss plan to ensure compliance with regulations and Standard Operating Procedures regarding Workers' Compensation and other HR issues. (Agency COOP Plan)	
Critical Task:	Review emergency time, pay and leave benefits procedures. (CGC1, J-3, 12)	
Source(s):	Annex J (Human Resources) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

DISCUSSION-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
TELEWORK		
Exercise Objective:	Assess the agency's ability to telework as a primary or backup strategy to perform essential functions and supporting tasks. <i>(CGC 1, p. G-4, 2)</i>	
Continuity Element:	A work flexibility arrangement under which employees perform the duties and responsibilities of their positions, and other authorized activities, from approved worksites other than the locations from which they would otherwise work.	
Continuity Capability Target 1:	Review use of communications systems required in support of the telework plan.	
Critical Task:	Review alert, notification and activation systems and procedures. <i>(Agency COOP Plan)</i>	
Critical Task:	Review communications systems and procedures used to attain accountability of all agency personnel. <i>(Agency COOP Plan)</i>	
Critical Task:	Discuss use of Virtual Private Network to access essential records. <i>(Agency COOP Plan)</i>	
Critical Task:	Review use of agency specific communications (e.g. Microsoft Lync, chat boards and Cisco Softphones to support telework). <i>(Agency COOP Plan)</i>	
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

Example of Operations-Based Exercise Evaluation Guides

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
RECONSTITUTION OPERATIONS		
Exercise Objective:	Evaluate the Reconstitution Team's ability to discuss a time-phased plan, listing functions and projects in order or priority, for resuming normal operations based on their COOP plan during a continuity incident. <i>(CGC1, K-2, 15b) (CGC1, M-1, 1)</i>	
Continuity Element:	The process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility.	
Continuity Capability Target 1:	The Reconstitution Team will develop a time-phased plan, to resume normal operations within ____ hours/days of a continuity incident. <i>(CGC1, M-1, 1b)</i>	
Critical Task:	Obtain permission from agency executive leadership to begin Reconstitution activities.	
Critical Task:	Conduct a Reconstitution Team planning meeting to frame the Reconstitution Plan. <i>(CGC1, M-1, 1d)</i>	
Critical Task:	Demonstrate conduct of a damage assessment. <i>(CGC1, M-1, 1a)</i>	
Critical Task:	Demonstrate procedures to enact MOUs with organizations to acquire new office space, furniture, and IT equipment. <i>(CGC1, M-1, 1e) (Agency COOP Plan)</i>	
Critical Task:	Demonstrate procedures to be used in contracting for facility repairs and purchase of new furniture and equipment. <i>(CGC1, M-1, 1c & 1e)</i>	
Source(s):	Annex M (Reconstitution Operations) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ESSENTIAL FUNCTIONS

Exercise Objective:	Test the ability of the Emergency Relocation Group to perform the agency's Essential Functions from an alternate facility within Recovery Time Objectives. (CGC1, D1, 5)
Continuity Element:	Essential Functions are a subset of government functions that are determined to be critical activities. Those functions an organization must continue in a continuity situation, whether the functions are STTEFs, MEFs or Essential Supporting Activities.
Continuity Capability Target 1:	Test the capabilities required to perform the agency's essential functions. <i>(CGC 1, K-2, 11 and CGC 1, K-3 22)</i>
Critical Task:	Test agency alert, notification, and activation procedures for continuity and devolution personnel and personnel at agency headquarters. (CGC 1, K-1, 5)
Critical Task:	Inspect the personal drive-away kits of the ERG for completeness in accordance with the agency's continuity of operations plan requirements. (Agency Coop Plan)
Critical Task:	Inspect section drive-away kits of the ERG for completeness in accordance with the agency's continuity of operations plan requirements. (Agency Coop Plan)
Critical Task:	Demonstrate the ability to conduct the deliberate and pre-planned movement of ERG personnel, equipment and essential records to an alternate site. (CGC1, K-3, 22a)
Critical Task:	Demonstrate the ability of the ERG to perform essential functions outside their normal expertise and scope of work as a result of cross-training. (CGI-D2, 8)
Source(s):	Annex D (Essential Functions) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating:
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EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ESSENTIAL RECORDS MANAGEMENT

Exercise Objective:	Test the ability of the ERG to protect, transport to, and access essential records from an alternate facility within the Recovery Time Objectives. (CGC1, K-2, 7 & I-2, 3,9&10)
Continuity Element:	Management of information systems and applications, electronic and hard copy documents, references and records needed to support essential functions during a continuity incident.
Continuity Capability Target 1:	Test the ERG's ability to retrieve essential records and access them from a continuity facility. (CGC1, I-2, 3)
Critical Task:	Test recovery strategies for essential records (both classified and unclassified), critical information systems (both classified and unclassified) and for providing access to them from the continuity facilities. (Agency COOP Plan)
Critical Task:	Test capabilities for protecting essential records and information systems (both classified and unclassified) and for providing access to them from the continuity facility). (CGC1, I-1, 6)
Critical Task:	Review physical security and information security procedures and access controls for essential records. (CGC1, I-2, 7&9)
Critical Task:	Demonstrate ERG's access to essential records (both classified and unclassified) from the alternate facility. Document this through conduct of an inventory. (CGC1, I-2, 3)
Source(s):	Annex I (Essential Records Management) to CGC 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating:
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EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

ORDERS OF SUCCESSION

Exercise Objective:	Test agency procedures to notify and transfer responsibilities of executive leadership to designated successor(s) within ___ hours of a continuity incident. (CGC1, K-2, 16 & E-1, 1)	
Continuity Element:	A formal, sequential listing of organization positions (other than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.	
Continuity Capability Target 1:	Demonstrate notification protocols and methods to ensure smooth transition of responsibilities to successor within ___ hours of notification. (CGC1, E-1, 1)	
Critical Task:	Test communications to notify successor(s) of the vacancy in executive leadership. (Agency COOP Plan)	
Critical Task:	Implement agency protocols for assumption of leadership positions. (Agency COOP Plan)	
Critical Task:	Inventory essential records at continuity facilities to verify inclusion of current orders of succession for key organization leadership positions. (CGC-1, pg. E-2, #8)	
Critical Task:	Demonstrate procedures to notify supporting and supported organizations (to include the State Operations Center), agency employees, contractors and vendors of the transfer of authority from the agency's Executive Director to designated successor(s). (Agency COOP Plan)	
Source(s):	Annex E (Orders of Succession) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating: 20

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

DELEGATIONS OF AUTHORITY

Exercise Objective:	Demonstrate the process for delegation of authority by Executive Staff to pre-designated personnel within ___ hours of notification of a continuity incident in order to ensure the orderly and pre-defined transition of leadership responsibilities within the organization. (CGC1, K-3, 8 & F-1, 1)
Continuity Element:	Identification by position of the authorities for making policy determinations and decisions at HQ, regional and field levels, and all other organizational locations.
Continuity Capability Target 1:	Implement delegation(s) of authority in accordance with organization’s continuity plan. (CGC1, F-1, 1A)
Critical Task:	Notify individuals to whom authority is delegated, and to subsequently communicate this information to employees, vendors and contractors at all agency locations. (CGC1, F-1, 1C)
Critical Task:	Test the ability of the individual to whom authority is delegated to perform duties as specified. (CGC1, F-1, 1B)
Critical Task:	Inventory essential records at the continuity facility to ensure inclusion of current delegations of authority. (CGC-1, pg. F-2, 2)
Source(s):	Annex F (Delegation of Authority) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

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EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

CONTINUITY FACILITIES

Exercise Objective:	Test procedures used by the ERG to access the alternate facility and establish site operability within ___ hours of arrival. <i>(CGC1, K-2, 8-9 & G-2, 2)</i>
Continuity Element:	Refers both to continuity and devolution sites where essential functions are continued or resumed during a continuity incident. These sites refer not only to other facilities and locations but also work arrangements such as telework and mobile work concepts.
Continuity Capability Target 1:	Test physical security capabilities and procedures at continuity facility(ies). <i>(CGC1, K-9, G-3, 8)</i>
Critical Task:	In accordance with security procedures, conduct initial orientation, in-processing, and reception of ERG, support staff, contractors and vendors required to perform Essential Functions within Recovery Time Objectives. <i>(CGC1, G-3, 8)</i>
Critical Task:	Establish perimeter, access, and internal security against all threats identified in the facility's risk assessment and physical security surveys. <i>(CGC1, G-4, 10K)</i>
Critical Task:	Enact information security procedures of the ERG and alternate facility to provide security against cyber and human-caused threats identified in the facility's risk assessment and physical security surveys. <i>(CGC1, G-3, 10C)</i>
Critical Task:	Review the MOA/MOU with the alternate facility to ensure that physical and information security considerations are adequately addressed. <i>(CGC1, G-3, 7)</i>
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

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OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

CONTINUITY FACILITIES

Exercise Objective:	Test procedures used by the ERG to access the alternate facility and establish site operability within ___ hours of arrival. <i>(CGC1, K-2, 8-9 & G-2, 2)</i>	
Continuity Element:	Refers both to continuity and devolution sites where essential functions are continued or resumed during a continuity incident. These sites refer not only to other facilities and locations but also work arrangements such as telework and mobile work concepts.	
Continuity Capability Target 2:	The ERG Team will establish site operability to perform Essential Functions within ___ hours of arrival at the continuity facility. <i>(CGC1, K-1, 8 & G-3, 8E)</i>	
Critical Task:	Validate on-site access to computers, software, and other automated data processing equipment necessary to carry out essential functions. Test information systems to ensure they are up-to-date with latest software and system updates. <i>(CGC1, G-3, 10C)</i>	
Critical Task:	Inventory pre-positioned critical supplies and equipment needed to achieve full operational capability and maintain this capability for up to 30 days or until normal operations can resume. <i>(CGC1, G-3, 5)</i>	
Critical Task:	Test primary and back-up infrastructure systems and services, such as power, water, and fuel at the continuity facility(ies), including devolution sites. <i>(CGC1, G-4, 10 G&H)</i>	
Critical Task:	Demonstrate access to essential support services such as food, water, fuel, medical facilities, housing, and municipal services to ensure the health, safety, and security of ERG members. <i>(CGC1, G-3, 10G)</i>	
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating: 23

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
CONTINUITY COMMUNICATIONS		
Exercise Objective:	Test voice, video and data communications systems required by the ERG and agency leadership to perform Essential Functions from an alternate facility within RTOs. <i>(CGC1, K-2, 8&10 & H-1, 7)</i>	
Continuity Element:	Voice, video and data capabilities that enable the leadership and staff to conduct the Essential Functions of their organization.	
Continuity Capability Target 1:	Activate continuity notification systems to support communication to all staff of a continuity activation in support Essential Functions from the alternate facility (or devolution site) within ___ hours following incident impact. <i>(CGC1, H-1, 1,2&4)</i>	
Critical Task:	Validate notification procedures, including demonstrating the message approval process. <i>(Agency COOP Plan)</i>	
Critical Task:	Test redundant notification system capabilities. <i>(CGC1, H-1, 2,4&6)</i>	
Critical Task:	Verify notification receipt and time received by staff. <i>(Agency COOP Plan)</i>	
Source(s):	Annex H (Continuity Communications) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
CONTINUITY COMMUNICATIONS		
Exercise Objective:	Test voice, video and data communications systems required by the ERG and agency leadership to perform Essential Functions from an alternate facility within RTOs. <i>(CGC1, K-2, 8&10 & H-1, 7)</i>	
Continuity Element:	Voice, video and data capabilities that enable the leadership and staff to conduct the Essential Functions of their organization.	
Continuity Capability Target 2:	Establish voice and data capabilities needed to support the performance of Essential Functions within ___ hours following arrival and for up to 30 days of continuous operations. <i>(CGC1, H-1, 6)</i>	
Critical Task:	Demonstrate the ability of staff to retrieve data. <i>(CGC1, H-1, 1, Agency COOP Plan)</i>	
Critical Task:	Test program staff verification of information systems support of Essential Functions and verify Information Technology's validation process. <i>(CGC1, H-1, 1& 6)</i>	
Critical Task:	Validate Recovery Time Objectives for system restoration. <i>(Agency COOP Plan & IT Disaster Recovery Plan)</i>	
Source(s):	Annex H (Continuity Communications) to Continuity Guidance Circular 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		

HUMAN RESOURCES

Exercise Objective:	Test procedures used by Human Resources to provide information and services to employees and family members within __ hours of a continuity activation. <i>(CGC1, K-2, 15 & J-3, 14)</i>
Continuity Element:	During a continuity incident, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties. Organizations are also responsible for supporting employees who are not designated as ERG personnel but who may also be affected by a continuity activation.
Continuity Capability Target 1:	Provide personnel services to agency employees and families in accordance with agency policies, procedures and Continuity of Operations Plan. <i>(CGC1, J-2, 7)</i>
Critical Task:	Contact and account for all staff personnel, including contractors. <i>(CGC1, J-2, 6)</i>
Critical Task:	Identify and alert replacement personnel and augmentees, as required. <i>(CGC1 N-3, 13)</i> Communicate the agency's operating status to all staff members. <i>(CGC1, J-2, 5)</i>
Critical Task:	Communicate guidance to non-ERG personnel to include how and to the extent which employees are expected to remain in contact with their agency during closure situations. <i>(CGC1, J-3, 9-10)</i>
Critical Task:	Test procedures to record employee time, conduct work scheduling, and provide pay, leave, and benefits, and communicate associated flexibilities. <i>(CGC1, J-3, 14)</i>
Source(s):	Annex J (Human Resources) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan

Observation Notes:	Target rating:
	26

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
DEVOLUTION OF CONTROL AND DIRECTION		
Exercise Objective:	Demonstrate the agency's ability to effectively transfer roles and responsibilities for conduct of its essential functions to an alternate organization(s). <i>(CGC1, K-2, 15 & L-2, 3-8)</i>	
Continuity Element:	The transition of roles and responsibilities for performance of essential functions through pre-authorized delegation of authority and responsibility. The authorities are delegated from an organization's primary staff to other employees internal or external to the organization in order to sustain essential functions for an extended period.	
Continuity Capability Target 1:	Exercise agency plan to transfer direction and control of agency operations to a pre-designated devolution site. <i>(CGC1, L-2, 6)</i>	
Critical Task:	Implement the agency's devolution option based on a pre-identified trigger (event and/or conditions). <i>(CGC1, L-2, 5)</i>	
Critical Task:	Inventory assets and resources, such as equipment and materials required to perform essential functions at the devolution site. <i>(CGC1, L-2, 7)</i>	
Critical Task:	Review processes and procedures for acquiring resources necessary to continue essential functions and to sustain those operations for extended periods. <i>(CGC1, L-2, 8)</i>	
Critical Task:	Exercise procedures to transition responsibilities to personnel at the primary operating facility upon termination of devolution. <i>(CGC1, L-2, 9)</i>	
Source(s):	Annex L (Devolution of Control and Direction) to CGC 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating:

EXERCISE EVALUATION GUIDES

OPERATIONS-BASED EXERCISE

Exercise Name: TBD	Agency: To Be Determined	Venue: To Be Determined
Exercise Date: TBD		
TELEWORK		
Exercise Objective:	Test the agency's ability to telework as a primary or backup strategy to perform essential functions and supporting tasks. <i>(CGC 1, p. G-4, 2)</i>	
Continuity Element:	A work flexibility arrangement under which employees perform the duties and responsibilities of their positions, and other authorized activities, from approved alternate worksites.	
Continuity Capability Target 1:	Test agency telework capabilities, to include IT infrastructure, required to conduct essential functions and supporting functions within 12 hours of notification of a continuity incident. <i>(CGC 1, K-2, 12)</i>	
Critical Task:	Demonstrate access by all agency personnel to essential records using Virtual Private Network (VPN.) <i>(Agency COOP Plan)</i>	
Critical Task:	Demonstrate use of softphone capability by agency personnel to report personnel status and monitor/participate in scheduled agency teleconference. <i>(Agency COOP Plan)</i>	
Critical Task:	Demonstrate use of agency-specific communications application (e.g., Microsoft Lync chat board) by agency personnel for work assignments and communications within their sections. <i>(Agency COOP Plan)</i>	
Source(s):	Annex G (Continuity Facilities) to Continuity Guidance Circular (CGC) 1, July 2013 and Agency Continuity of Operations Plan	
Observation Notes:		Target rating: