

NEBRASKA

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DEPARTMENT OF TRANSPORTATION

# CONTINUITY OF OPERATIONS (COOP) BASE PLAN

September 2022

**WARNING:** This document contains information that is FOR OFFICIAL USE ONLY and must be protected. This document includes information pertaining to the deployment, mobilization, and tactical operations of a State of Nebraska government agency in response to emergencies and is exempt from public disclosure under the provisions of NEB. REV. STAT. § 84-712.05(h).

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## **Director's Foreword**

Disasters or emergencies can happen at any time, which can adversely affect state government's operations. Yet, we have a responsibility to the citizens of Nebraska to be able to continue our agency's essential functions. Therefore, the Nebraska Department of Transportation must develop sound plans in order to prepare, react, respond and recover from disasters or emergencies.

This Continuity of Operations plan describes how Nebraska Department of Transportation will react, respond, and recover from an incident that causes a disruption of the agency's essential functions. All Nebraska Department of Transportation staff must become familiar with this plan; NDOT Leadership should incorporate this document into their regular training and orientation of current and new staff members.

Finally, as stated in the plan, revisions will be made on an annual basis, however this is an ever-changing document and recommended changes should be provide to the Highway Emergency Program Specialist whenever practicable.

**Vicki Kramer**

**Director**

**Department of Transportation**

**State of Nebraska**

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Submit questions pertaining to the distribution, transmission, or destruction of this plan to:

T.J. Kripal  
Highway Emergency Program Specialist  
Operations Division  
Nebraska Department of Transportation  
5001 S 14th Street  
Lincoln, NE 68509

Loss, compromise, suspected compromise, or unauthorized disclosure of this Continuity Plan, including Enclosures, Division-Specific Annexes and Appendices will be reported immediately to T.J. Kripal, Highway Emergency Program Specialist.

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**RECORD of PLAN REVIEWS and CHANGES**

The most current copy of this document, including any changes, is available through the Nebraska Department of Transportation, T.J. Kripal, Highway Emergency Program Specialist Operations Division, 5001 S. 14<sup>th</sup> Street, Lincoln, NE 68509.

**NDOT-Continuity BASE Plan Table 1: Record of Plan Review**

Review Date	Section(s) Reviewed	Reviewed By

**NDOT-Continuity BASE Plan Table 2: Record of Changes**

Change Number	Page # / Paragraph	Date of Change	Posted By

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## ***SECTION I: INTRODUCTION***

### **I-1 Purpose**

The Nebraska Department of Transportation (NDOT) Continuity Plan establishes operational procedures to ensure the execution of mission-essential functions in the event of an emergency event (or emerging threat) disrupts operations at NDOT primary facility. Specifically, this Continuity Plan is designed to:

- Ensure NDOT complies with the State's Continuity of Operations Policy by establishing and maintaining a viable Continuity of Operations Plan and adopting a Continuity Program that aligns with the Continuity Administration's program and planning guidance.
- Ensure NDOT is prepared to recover from the impact of an emergency or threat on daily business operations.
- Ensure NDOT is capable of performing mission-essential functions for the durations of a continuity event.
- Ensure NDOT is capable of communicating with staff, the State's Crisis Action Team, business partners, service providers and customers during a continuity event.
- Ensure NDOT is prepared for an orderly transition of leadership and responsibilities within the organization during a continuity event, when necessary.
- Ensure NDOT is prepared coordinate the restoration of information technology systems and communications capabilities in support of mission-essential functions during a continuity event.
- Identify an alternate facility to support the relocation of mission-essential functions for the duration of a continuity event.
- Establish time-phased implementation procedures for NDOT to activate components of the continuity plan relative to the operational environment when a continuity event is activated.
- Establish Reconstitution Planning Guidance to facilitate the transition of continuity operations back to normal business operations.

### **I-2 Mission**

We work cooperatively, through innovative people, processes and technology to be accountable and continuously improve the products and services provided to our customers.

### **I-3 Background**

The Nebraska Department of Transportation was established initially as the State Board of Irrigation on April 4, 1895 under State Statute H.R. 443. After a few name changes, today the Nebraska Department of Transportation has the responsibility to provide the best possible statewide transportation system for the movement of people and goods.

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These functions are spearheaded by the agency Director through each Division and District.

NDOT is a code agency under the direct supervision of the Governor. NDOT's mission is to provide the best possible statewide transportation system for the movement of people and goods. To accomplish this mission, Nebraska Department of Transportation must ensure efficient operations with minimal disruption, especially during an emergency.

The State's Continuity Administration supports state agencies with developing Continuity of Operations Plans and maintaining a comprehensive and effective continuity capability. The Director spearheaded a planning project to develop a comprehensive Continuity of Operations Plan for NDOT. A continuity working group was formed consisting of representatives of each NDOT Division to identify mission-essential functions, complete a business process analysis, and develop the continuity of operations plan.

### I-4 Suppression

The NDOT Continuity Plan dated September 1, 2022, supersedes all previous continuity plans. Updates will be noted in the Record of Change at the beginning of the document, and the plan will be reviewed and revised accordingly.

### I-5 Authorities

- Nebraska State Constitution Article III-29
- Nebraska Revised Statute 81-829.40 Governor; powers and duties.
- Nebraska Revised Statute 84-1101 Nebraska General Emergency Succession Act
- Nebraska Revised Statute 81-829.37 Emergency Management Act
- State Emergency Operations Plan, Section VII. Continuity of Government
- State Continuity of Operations Policy Memorandum, signed April 2019

### I-6 Applicability and Scope

The NDOT Continuity Plan applies to all NDOT Division's staff and District's staff who provide service through NDOT primary facility. The NDOT Continuity Working Group considered all business units and their internal and external stakeholders (customers) when identifying mission-essential functions and establishing the continuity strategy outlined in this plan.

- This Plan applies to situations that require the relocation of NDOT mission-essential functions when directed by the Director to activate Continuity Operations.
- The prioritized list of mission-essential functions applies only to NDOT business operations.
- This plan **does not** serve as a Disaster Recovery Plan and does not define the process or procedures required to recover and protect information technology systems, services, and applications from the effects of a disaster or data breach.

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- Recovery Point Objectives for state agency IT systems and applications were not considered in the development of the Recovery Time Objectives for each NDOT mission-essential function.
- This plan **does not** apply to short-term disruptions of government operations, such as a fire-drill or localized power outage, where services are anticipated to be restored in a reasonable time frame.

### I-7 Planning Assumptions

- NDOT should be capable of standing-up continuity operations no later than 12-hours after activating continuity operations and be able to sustain continuity operations for 30 days (or longer) as necessary.
- Communicating information is often a challenge following an emergency and NDOT may experience difficulty communicating information in a timely manner.
- Restoring information technology infrastructure, services and applications is a complex process that will involve interdependent activities, resources, and support from the Office of the Chief Information Officer (OCIO) and other service providers.
- Events impacting the agency's primary facility in Lincoln may but are not likely to simultaneously impact the agency's [satellite, field offices, or other access sites] located across the state.
- NDOT will require additional funding to repair, replace, and reconstitute business operations following an emergency event that impacts the primary operating facility.
- NDOT will adopt a culture of continuity preparedness to ensure essential staff, resources and procedures are in place to support continuity operations.

### I-8 References

- Office of the Governor, State Continuity of Operations Policy Memorandum signed April 2019
- Department of Administrative Service, State Crisis Action Team Call-Out Procedures, July 2019
- Department of Transportation Strategic Plan (July 2004)
- FEMA, Continuity Guidance Circular 1 (July 2013)
- FEMA, Continuity Guidance Circular 2 (October 2013)

### I-9 Policy

NDOT acknowledges that a viable continuity capability is fundamental to the resilience of Nebraska and the ability of state government to continually provide essential services during periods of emergency or imminent threats. It is the policy of the State of Nebraska to maintain a comprehensive and effective continuity capability. As such, NDOT is responsible for establishing a Continuity of Operations Plan and adopting a Continuity Program to maintain and exercise continuity plans.

## I-10 Continuity Plan Organization

The components of the NDOT Continuity of Operations Plan include:

**BASE Plan** – Establishes the organizational structure, concept of operations, and assignment of responsibilities for the execution of continuity operations and continuity program management.

**Enclosures** – Establish specific guidance for executing support functions, introduced in the BASE Plan, that require consistent and accurate execution for continuity operations to be successful.

**Annexes** – Functional plans that support the execution of mission-essential functions assigned to a business unit or program area. Each Annex consists of 7 standard appendices that detail the roles and responsibilities, resources, and operational procedures specific to each mission-essential function.

**Annex Tabs (optional)** – An extension of an Annex used to provide structure for organizing additional information. Typically used to organize information specific to a satellite office or field staff that are aligned with the business unit.

## I-11 NDOT Continuity of Operations Plan outline:

### **BASE Plan**

#### **BASE Plan Enclosures**

Enclosure (1) Alert and Notification / Personnel Accountability Procedures

Enclosure (2) Delegation of Authority Letters

Enclosure (3) Devolution Letter

Enclosure (4) Reconstitution Planning Guidance

Enclosure (5) State Continuity Policy

Enclosure (6) Memorandum of Understandings

#### **Annexes**

Annex A: Aeronautics Division

Annex B: Bridge Division

Annex C: Business Technology Support Division

Annex D: Communications Division

Annex E: Construction Division

Annex F: Controller Division

Annex G: Human Resources Division

Annex H: Local Assistance

Annex I: Materials and Research Division

Annex J: Operations Division

TAB A- District 1

TAB B- District 2

TAB C- District 3

TAB D- District 4

TAB E- District 5



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TAB F- District 6

TAB G- District 7

TAB H- District 8

Annex K: Project Development Division

Annex L: Program Management Division

Annex M: Right of Way Division

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Annex O: Strategic Planning Division

Annex P: Traffic Engineering Division

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Appendix 1: Mission-Essential Functions

Appendix 2: Emergency Relocation Group

Appendix 3: Orders of Succession and Delegations of Authority

Appendix 4: Alternate Facilities

Appendix 5: Essential Records and Data

Appendix 6: Equipment and Resources

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**SECTION II: CONCEPT of OPERATIONS**

**II-1 Objectives**

The objective of this continuity plan is to ensure NDOT is capable of performing mission-essential functions across a wide range of scenarios where the primary facility is either threatened, inaccessible, or rendered inoperable thus requiring the relocation of essential staff and operations.

**II-2 Continuity Activation Scenarios**

A wide range of scenarios can be envisioned with the potential to impact NDOT ability to perform daily operations in the agency’s primary facilities. However, only emergencies, emerging threats, or other events that meet specific criteria will lead to the activation of continuity operations.

<b>Scenarios Likely to Result in a Continuity Activation</b>	
<p><b>Conditions</b></p> <p>Any incident or credible imminent threat affecting the agency’s primary facility that disrupts normal business activities for an extended duration of time.</p> <p>Any incident or credible imminent threat affecting the area surrounding the agency’s primary facility, disrupts utility services, damages critical infrastructure, or impedes access to the facility for an extended duration of time.</p>	<p><b>Examples</b></p> <ul style="list-style-type: none"> <li>• Building fire, flooding, structural failure or collapse;</li> <li>• Threats/attacks targeting the building or occupants;</li> <li>• Biological, Chemical, Radiological, Hazardous Material incident;</li> <li>• Natural disasters with widespread utility failure;</li> <li>• Civil unrest, or law enforcement activity barring access to the facility or surrounding areas.</li> </ul>
<b>Scenarios <u>NOT</u> Likely to Result in a Continuity Activation</b>	
<p><b>Conditions</b></p> <p>A temporary disruption or short-term evacuation of the agency’s primary facility with limited impact to normal business activities.</p> <p>Diminished operational environment affecting the area surrounding the agency’s primary facility following an emergency with <i>no</i> impact on building safety and minimal impact on normal business activities.</p>	<p><b>Examples</b></p> <ul style="list-style-type: none"> <li>• Fire alarms, evacuation drills;</li> <li>• Severe Weather, shelter-in-place drills;</li> <li>• Small hazardous material incident requiring a limited suspension of activities;</li> <li>• Weather events (snow/ice storms) or localized flooding;</li> <li>• Law enforcement activity in the area nearby the facility that is not impacting or impeding access to the facility.</li> </ul>

**NDOT Continuity BASE Plan Figure 1: Continuity Activation Scenarios**

### II-3 Activation of Continuity Operations

#### A. Order to Activate Continuity Operations

NDOT Director may activate the agency's Continuity of Operations Plan when an emergency event or imminent threat causes the agency's facility(s) to be uninhabitable or inaccessible for normal business operations, thus disrupting the agency's ability to perform essential functions and services.

NDOT Director shall notify the State's Crisis Action Team of the decision to activate continuity operations in a timely manner. Reference: State Crisis Action Team Notification Procedures for State Agencies maintained on the Enterprise Continuity SharePoint site (<https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>).

The State's Crisis Action Team will convene to, support state agencies with the activation of continuity operations, coordinate state resources requested to support continuity operations, and ensure effective and efficient reconstitution of normal business operations.

#### B. Continuity Activation Conditions

Emerging Events (Advanced Warning) – If an Agency receives advanced warning of an emerging threat to the agency's staff, facility, and/or operations, then the Agency shall make notification to the appropriate authorities and the State's Crisis Action Team. The Crisis Action Team may convene to assist the Agency with monitoring the situation and notifying other state agencies and stakeholders, if necessary.

During Business Hours – NDOT Director (*or designee*) **shall** notify the State's Crisis Action Team, in a timely manner, of any incident that displaces the agency from their facility and has the potential to disrupt business operations for an extended period of time.

After Hours – If an emergency event occurs outside of normal business hours that impairs the operational capacity or safety of a State owned building, then the Facilities Operations Manager will initiate notification procedures to inform the building tenants of the situation.

The Facilities Operations Manager will notify the designated point of contact on file for each tenant occupying the affected state facility. The NDOT designated point of contact for facility notifications is responsible for notifying the NDOT Director of the situation. The NDOT Director will decide if activation of continuity operations is necessary and inform the State's Crisis Action Team accordingly.

Non-State Owned/Operated Facilities – State agencies that reside in facilities not owned or operated by State Building Division (including federal/local government, and privately owned buildings) will likely receive notification of an emergency event impacting the facility from the building's owner or property manager. Agency Directors should confirm with the building's owner or property manager how they will be notified of events during and after business hours.

## II-4 Alert and Notification

NDOT Director will use Alert and Notification procedures to notify agency staff of a change in government operations when the agency's facility(s) is impacted by an emergency event. Agencies must establish Alert and Notification procedures to facilitate the dissemination of information to all agency personnel (including temporary staff and contractors) in a timely manner.

Alert and Notification procedures are not intended to notify the agency's customers or the public of a change in business operations. Public notifications should be coordinated through the agency's public information channels.

Agency specific Alert and Notification procedures are maintained in Enclosure (1) Alert and Notification and Personnel Accountability.

## II-5 Personnel Accountability

The impact of an emergency event on the workforce is a factor used by NDOT Director in the decision to activate continuity operations. Personnel Accountability procedures are used during the *Phase I: Activation* of continuity operations to account for agency employees and determine their availability to perform essential functions.

Agencies specific Personnel Accountability procedures to account for all agency personnel are maintained in Enclosure (1) Alert and Notification / Personnel Accountability.

## II-6 Direction and Control of Continuity Operations

**NDOT Director** (*or designee*) will determine when to activate continuity operations for the agency and notify the State's Crisis Action Team accordingly.

**NDOT Leadership Team** will serve as the direction and control element for NDOT continuity events by coordinating operations and communications with staff, business partners, and customers. NDOT Director (*or designee*) will coordinate with the State's Crisis Action Team for support required to activate NDOT continuity operations, relocate essential-staff, sustain mission-essential functions, and reconstitute normal business operations at the conclusion of the continuity event. *NDOT Continuity BASE Plan Figure 2: Continuity Organizational Chart* illustrates the organizational structure for continuity operations.

**NDOT ERG Chiefs** serve as the primary point of contact and coordinator for their assigned mission-essential function(s). ERG Chiefs are responsible for managing the team(s) of essential staff activated to support their assigned mission-essential function(s). ERG Chiefs work with essential staff to manage the daily workflow and communications with business partners and customers. ERG Chiefs will request additional resources and support from the NDOT [Leadership Team].

**All NDOT personnel** will receive direction and information from the NDOT [Leadership Team] for the duration of the continuity event. When an essential staff team member is activated they report to their assigned ERG Chief. An essential staff team member may be deactivated during a continuity event if deemed appropriate based on the changing operational environment.

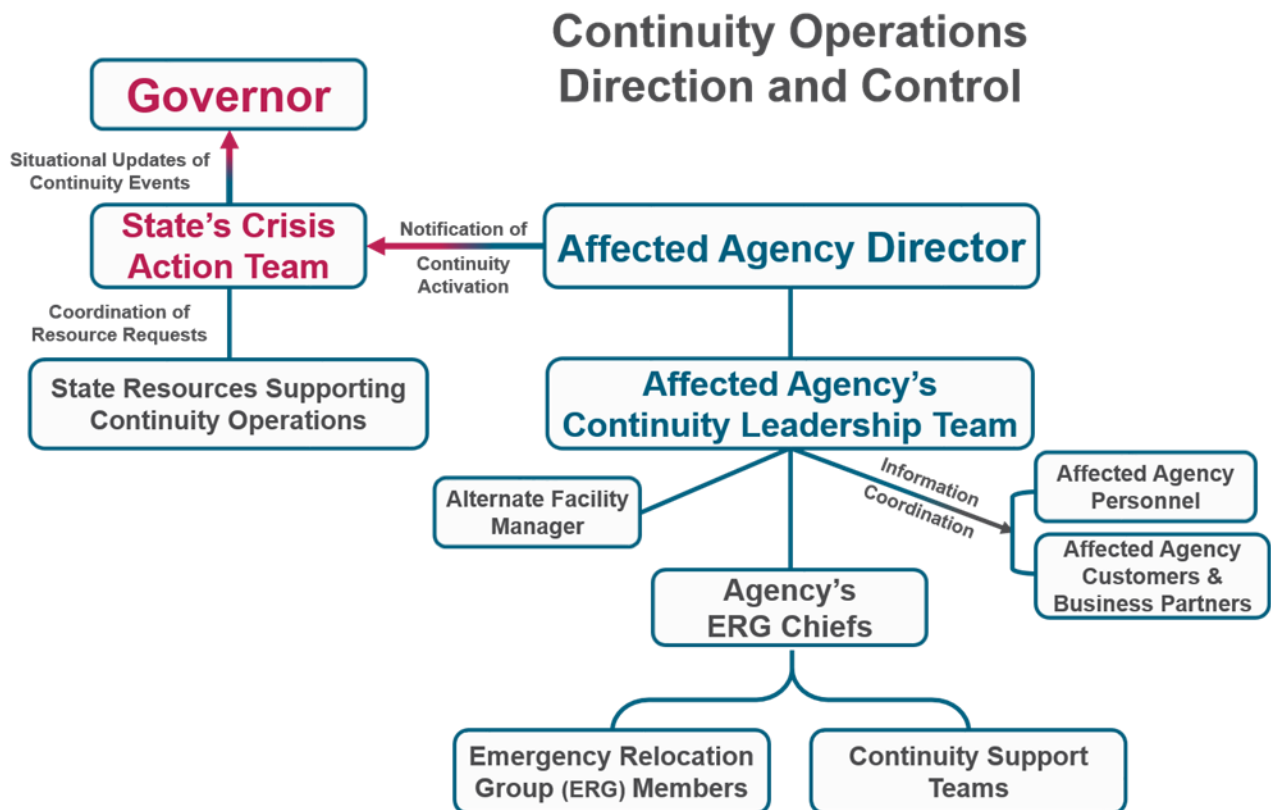
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**State's Crisis Action Team** is responsible for coordinating state resources and operational support for affected agencies. The State's Crisis Action Team will assess the overall impact of the emergency/threat on state personnel and government operations and provide situational updates to the governor, as needed throughout the event.

**Governor** may issue proclamations and make, amend, and rescind the necessary orders, rules, and regulations to carry out the Emergency Management Act (RRS 81-829.40). Additionally, the Governor may suspend the provisions of any regulatory statute prescribing the procedures for conduct of state business or the orders, rules, or regulations of any state agency if strict compliance with the provisions of any statute, order or rule would in any way prevent, hinder or delay necessary action in coping with the disaster, emergency, or civil defense emergency (RRS 81-829.40(6)(a)).



**NDOT Continuity BASE Plan Figure 2: Continuity Organizational Chart**

**II-7 Time-Phased Implementation**

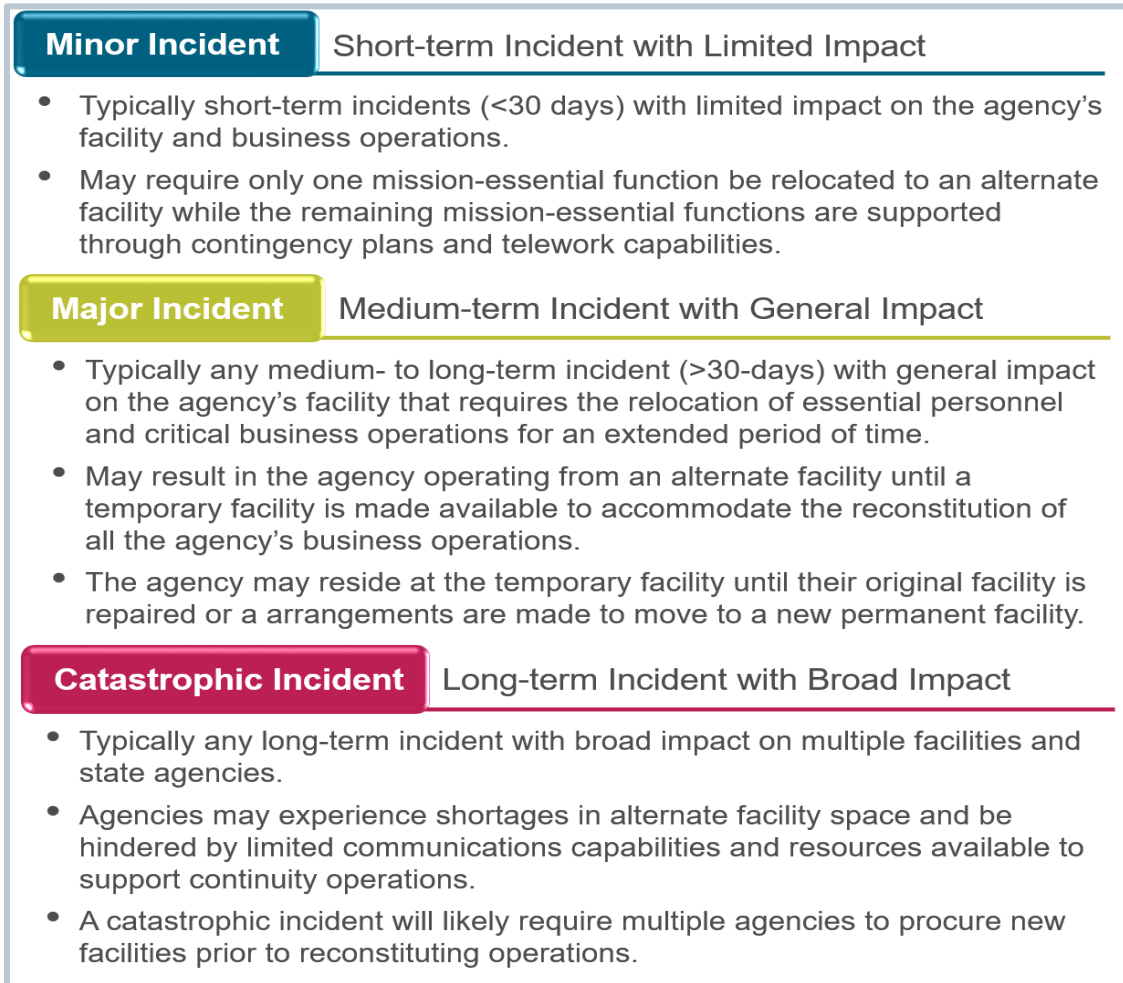
Time-phased implementation provides a structured approach to activating continuity operations based on the magnitude and impact of an incident on NDOT personnel, facilities, supporting infrastructure systems, and business activities. Time-phased implementation is also used to prepare for emerging threats (e.g., flooding or a credible security threat) by anticipating the need for continuity operations and systematically initiating actions based on the situation as it evolves.

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The NDOT Director relies on situational understanding to determine when to activate continuity operations. Situational understanding involves assessing the magnitude of the incident and the potential risks to the agency's personnel, facilities, and business activities. *NDOT Continuity BASE Plan Figure 3: Incident Magnitude Classifications* provides a baseline for assessing potential impact based on magnitude of an incident.



***NDOT Continuity BASE Plan Figure 3: Incident Magnitude Classifications***

Once the NDOT Director activates continuity operations, the NDOT [Leadership Team] will proceed with time-phased implementation of continuity operations to reach the execution level necessary to perform mission-essential functions.

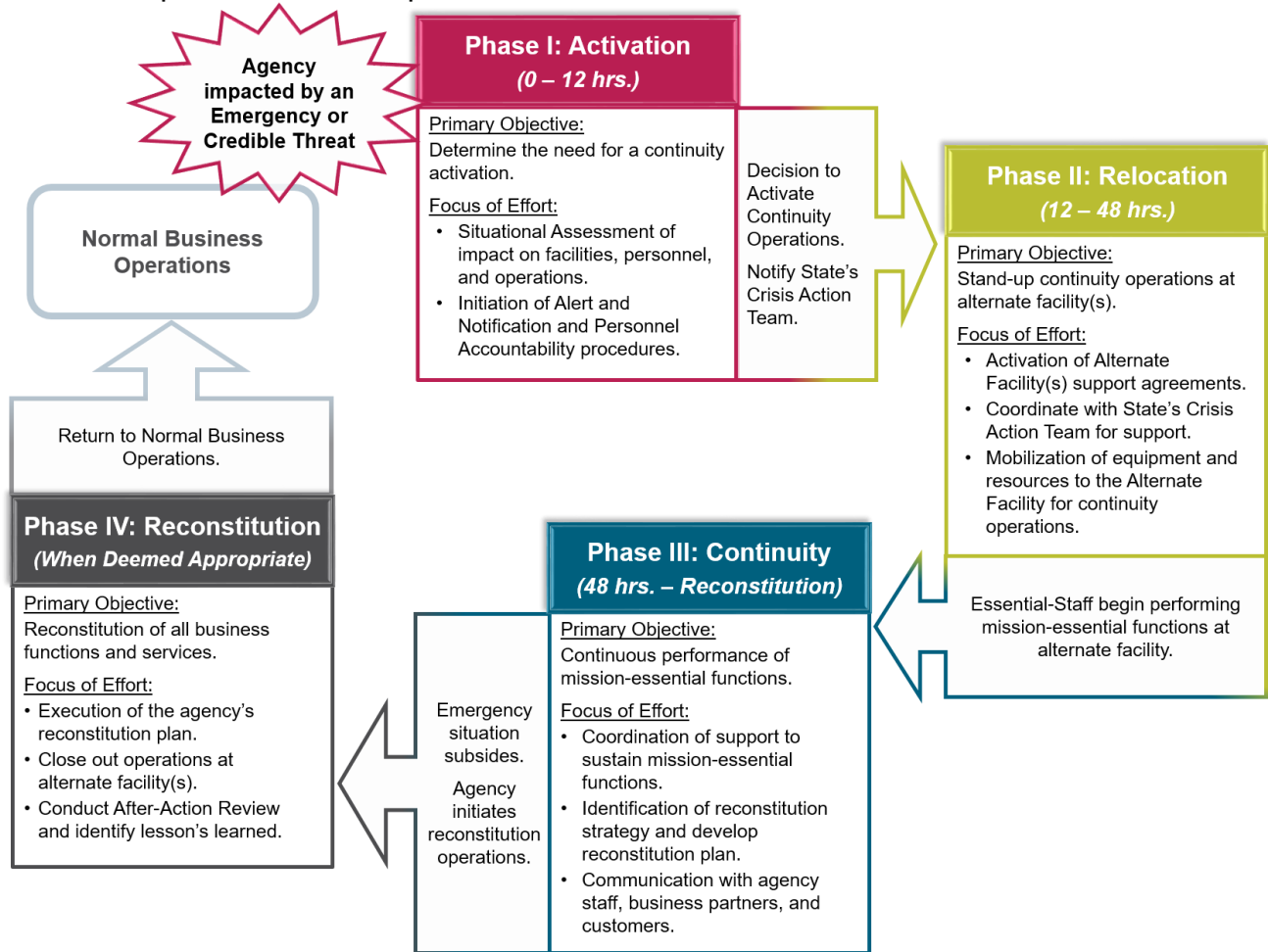
The following outlines the primary objective and focus of effort for each continuity phase. More detailed information for executing each phase is in *SECTION III: CONTINUITY ROLES and RESPONSIBILITIES by TIME-PHASE*

**Note:** *the duration of time identified for each phase is purely notional, the actual time needed to complete each phase is dependent on the magnitude of the incident.*

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**NDOT Continuity BASE Plan Figure 4: Phases of Continuity Operations**

**II-8 Continuity Essential Staff**

**State's Crisis Action Team (CAT)** – led by the Director of Administrative Services and may include; the State Building Division Administrator, Director of State Personnel, Risk Management Administrator, Enterprise Continuity Manager, OCIO IT Administrator for Network Services, affected Agency Director(s), and dependent on the situation applicable subject matter experts.

State's Crisis Action Team primary duties include:

- Provides operational guidance to ensure effective activation of continuity operations and efficient reconstitution of normal business operations.
- Coordinate state resources supporting continuity operations.
- Assess the overall impact of the emergency/threat on state personnel and government operations and provide situational updates to the Governor, as warranted.

**NDOT Director** – accountable for the agency's ability to continuously provide critical services in keeping with the agency's mission.



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NDOT Director's primary duties include:

- Determines when to activate continuity operations.
- Notifies the State's Crisis Action Team when continuity operations are activated and provide situational updates for the duration of the event.
- Directs and coordinates continuity operations for the durations of the event.
- Identifies a Reconstitution Manager, approves the reconstitution strategy, and initiate reconstitution operations.
- Requests additional resources and support from the State's Crisis Action Team.
- Approves information disseminated to agency personnel, business partners, and customers.

**NDOT Leadership Team –**

NDOT Leadership Team primary duties include:

- Coordinate NDOT continuity operations from activation through reconstitution and ensure the agency is capable sustaining critical services for NDOT customers.
- Coordinate with NDOT Director to request additional resources and operational support to sustain continuity operations.
- Coordinate activation of Alternate Facility(s) and efforts to mobilize equipment and prepare for arrival of essential staff to perform mission-essential functions.
- Coordinate NDOT communications with staff, business partners and customers.
- Assist the Reconstitution Manager with identifying a reconstitution strategy, developing a reconstitution plan, and coordinating the execution of reconstitution operations.

**Emergency Relocation Group (ERG) Chief –** Agency leaders identified in the continuity plan to lead a team of essential staff responsible for performing specific mission-essential functions. ERG Chiefs are typically supervisors, team leaders, or program managers who understand the operational systems and workflow of their assigned mission-essential functions. *See Appendix 2* of each Functional Annex for the ERG Chief identified for each mission-essential function.

ERG Chiefs' duties include:

- Managing efforts to stand-up continuity operations for their assigned mission-essential functions at alternate facility(s) or through use of telework capabilities.
- Requesting additional support from NDOT Leadership Team.
- Managing essential-staff and workflow for assigned mission-essential functions for the duration of the event.
- Conducting a hotwash and supports NDOT Leadership Team with the After-Action Review process.

**Emergency Relocation Group (ERG) "Essential Staff" –** A pre-identified team of agency staff responsible for performing mission-essential functions for the duration of a continuity event. When activated, ERG members relocate to the designated alternate

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facility-or work remotely using approved telework procedures-to perform mission-essential functions. See *Appendix 2* of each Functional Annex for the list of ERG Members identified to support each mission-essential function.

**Continuity Support Team (CST)** – Additional essential staff, contractors, vendors, or other service providers identified to support mission-essential functions. CST members may be activated to augment ERG teams for all or part of a continuity event. CST members identified from other state agencies or contracted service providers may be activated to assist during a continuity event, however they do not typically deploy to the supported-agencies alternate facility. See *Appendix 2* of each Functional Annex for the list of CST Members identified to support each mission-essential function.

**Alternate Facility Manager** – A designated point-of-contact for each of the Agency’s identified alternate facility. The Alternate Facility Managers must be authorized to access the facility during non-working hours and be able to execute the terms agreed upon in the Memorandum of Understanding/Agreement signed by both parties. Agencies should identify an Alternate Facility Manager for each alternate facility, including the agency’s own satellite offices. See *Enclosure (3)* Continuity Facilities for more details.

**Reconstitution Manager** – Designated by NDOT Director after continuity operations are activated and tasked with identifying a reconstitution strategy and developing a reconstitution plan for transitioning from continuity operations back to normal business operations.

**Devolution Emergency Relocation Group (DERG)** – Pre-identified and trained staff at a devolution site who assume responsibility for mission-essential functions immediately following a disruption of services until the agency is able to activate continuity operations. DERG’s are used for high availability/critical services that cannot be interrupted for any length of time (e.g., 9-1-1 services). DERG members must receive on-going training and participate in exercises and drills to ensure proficiency in executing the devolution plan. See *Enclosure (5)* Devolution for the agency’s devolution agreement and devolution plan (when applicable).

## II-9 Prioritization of Mission-Essential Functions (MEF)

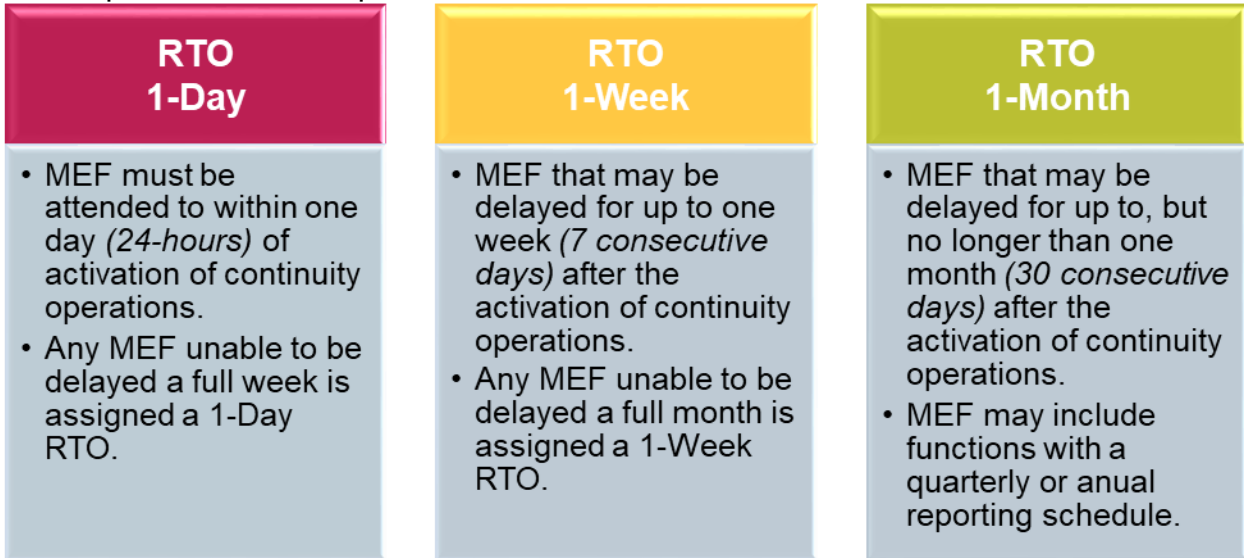
Mission-essential functions (MEFs) are prioritized by Recovery Time Objective (RTO) categories of one-day, one-week, and one-month. RTO categories do not imply that the mission-essential function will be fully restored and operational by that time, **only** that staff, resources, and equipment are devoted to efforts to restore the function as quickly as possible. The prioritized list of MEFs is used to assist the agency with determining where to focus efforts during a continuity event when faced with limited staff and resources.

All other business functions not identified as mission-essential are therefore deemed non-mission-essential and will be deferred until ‘normal’ business activities are reconstituted. *At no point during a continuity event will limited resources, including network connectivity, be diverted from staff performing mission-essential functions for work on non-mission-essential functions.*

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**NDOT Continuity BASE Plan Figure 5: Recovery Time Objective Categories**

The NDOT Director approved the prioritized list of mission-essential functions from each Division/District that serve as the foundation for this continuity plan. *NDOT MEF Example Table 1: Prioritized List of Mission-Essential Functions.*

The NDOT Leadership Team will use the list of prioritized mission-essential functions to inform decision making when standing up continuity operations. The NDOT [Leadership Team] *may* realign the priority order of NDOT mission-essential functions based on the operational environment and needs at the time of the continuity event. When sufficient staff and resources are available to accommodate all of the agency’s mission-essential functions, then MEFs may be addressed simultaneously regardless of the RTO category assigned.

**NDOT MEF Example Table 1: Prioritized List of Mission-Essential Functions**

Priority	Mission-Essential Function	RTO	Annex
1	Division MEF Lists	1-Day	Annexes
2	District MEF Lists	1-Day	Annex J Tabs
<b>Continue functions listed above</b>			
3	Division MEF Lists	1-Week	Annexes
4	District MEF Lists	1-Week	Annex J Tabs
<b>Continue functions listed above</b>			
5	Division MEF Lists	1-Month	Annexes
6	District MEF Lists	1-Month	Annex J Tabs

**II-10 Organization and Staffing of Mission-Essential Functions**

Appendix 2 Emergency Relocation Group, of each Annex, lists the ERG Chief and ERG members identified to support each mission-essential function.

**II-11 Orders of Succession and Delegation of Authorities**

A. Orders of Succession

Orders of succession are identified to provide clarity of responsibilities in the event that individuals serving in leadership roles are unavailable. *NDOT Continuity BASE Plan Table 2: Senior Leadership Orders of Succession* identifies the orders of succession for the Director Orders of succession for other NDOT team leaders are maintained in Appendix 3: Orders of Succession of each Annex.

B. Delegation of Authorities

Delegation of authority provides successors with the legal authorization to act in a specified role and carry out authorized duties for a defined period of time. The NDOT Senior Leaders established and signed letters acknowledging delegated of authorities for continuity operations. Delegation of authority acknowledgement letters are maintained in Enclosure (4) Delegation of Authority Letters.

***NDOT Continuity BASE Plan Table 2: Senior Leadership Orders of Succession***

Senior Leader	Primary	Secondary	Tertiary	Quaternary
Director <i>Vicki Kramer</i>	Director	N/A		
Deputy Director Operations <i>Moe Jamshidi</i>	Deputy Director	Director		
Deputy Director Engineering <i>Khalil Jaber</i>	Deputy Director	Director		

**II-12 Continuity Alternate Facility(s)**

A. NDOT Continuity Facilities

Appendix 4 Alternate Facilities, in each Annex, identifies where essential staff will perform their assigned mission-essential functions when activated for a continuity event. NDOT daily operations allow for certain mission-essential functions to be performed remotely (in accordance with telework policies) while other MEFs require staff to perform work at satellite locations where equipment is housed. Enclosure (3) Continuity Facilities provides information for all pre-identified alternate facilities established to support NDOT continuity operations.

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B. Selecting an Alternate Facility(s) During a Continuity Activation

If the pre-identified alternate facility is not capable of supporting continuity operations at the time of activation, then the NDOT Leadership Team may request assistance from the State's Crisis Action Team to identify a suitable alternate facility.

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**SECTION III: CONTINUITY ROLES and RESPONSIBILITIES by TIME-PHASE**

Time-phased implementation provides a structured approach for activating continuity operations based on the situation and operational conditions after an emergency event. Once the Director activates continuity operations and notifies the State’s Crisis Action Team, then the NDOT [Leadership Team] will direct the execution of procedures to accomplish each phase of continuity operations.

Agencies should adopt a culture of “continuity readiness” to ensure their ability to organize and respond to a continuity activation. Ultimately it is the responsibility of the Director of Nebraska Department of Transportation to ensure that NDOT can perform its identified mission-essential functions whenever continuity operations are activated.

Continuity roles and responsibilities of essential staff are identified for key activities that accomplish the primary objective for each time-phase.

**Phase I: Activation**

Primary Objective: Determine the need for a continuity activation based on the impact to agency personnel, facilities, and operations.

Focus of Efforts:

**Assess the Situation**

Identify the impact to agency facilities, personnel, and business operations.  
For emerging threats, estimate the change in risk for agency facilities, personnel, and business operations.

**NDOT [Leadership Team] Responsibilities**

- 1) Assess impact (or risk) to agency facility(s). Determine if facility is accessible, safe for occupancy and capable of supporting business operations. Contact State Building Division for assistance with state owned and commercially leased facilities.
- 2) Assess impact to agency’s communication and IT systems and application supporting business operations.
- 3) Assess impact to agency personnel. If necessary, activate Personnel Accountability Procedures (Enclosure 1) to determine availability and accessibility of agency staff.
- 4) Based on impact to facilities and personnel, determine the impact on agency’s business operations, focusing on mission-essential functions required to sustain critical services.
- 5) NDOT Director determines if a continuity activation is required.
  - If the NDOT [Leadership Team] activates continuity operations proceed to Phase II: Relocation.
  - If continuity operations are not active, proceed as directed by the NDOT [Leadership Team].

## Event Reporting Requirements

Report the situation to the State's Crisis Action Team.

### NDOT [Leadership Team] Responsibilities

- 1) NDOT Director *shall* notify the State's Crisis Action Team when the decision is made to activate the agency's continuity operations. See State Crisis Action Team Notification Procedures for State Agencies-Effective 07 16 2019 (available on the Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/resources/>  
*Agency Leaders are encouraged to report any incidents that increase the risk to agency personnel, facilities, or business operations that may result in a continuity activation.*
- 2) NDOT Director will coordinate with NDAS Risk Management to initiate insurance claim process for any workers compensation events, damage to/loss of property, or loss of use of government insured facilities (*regardless of continuity activation*).

### State's Crisis Action Team Responsibilities

- 1) When requested, coordinate support from state agencies and provide guidance to impacted Agency Leaders.
- 2) Maintain situational awareness of events impacting state agencies and advise the Governor as needed.

## Phase II: Relocation of Mission-Essential Functions

Primary Objective: To stand-up continuity operations at alternate facilities to support the agency's ability to continuously perform mission-essential functions and provide critical services.

Focus of Efforts:

### Alert and Notification

To notify the agency's employees and business partners of the continuity activation and coordinate efforts to stand-up continuity operations at an alternate facility.



### NDOT Leadership Team Responsibilities

- 1) Initiate alert and notification procedures to inform all NDOT staff of the change in operational status resulting from the activation of continuity operations. *See Enclosure (1) Alert and Notification and Personnel Accountability.*
- 2) Alert Alternate Facility Manager of continuity activation and activate alternate facility support agreement(s).
- 3) Notify business partners and customers of the change in operational status and impact to business operations and services.

### State's Crisis Action Team Responsibilities

- 1) When requested, coordinate support from state agencies to stand-up continuity operations at the impacted agency's alternate facility.
- 2) Provide guidance to impacted Agency Leadership Team regarding stand-by/ready to work status and personnel matters.
- 3) NDAS Risk Management provides assistance with the insurance claim process.
- 4) Maintain situational awareness of events and update the Governor as needed.

### Mobilization of Equipment and Resources

Coordinate the mobilization of equipment and resources required to stand-up operations at the agency's alternate facility.

### NDOT [Leadership Team] Responsibilities

- 1) Identify equipment and resources needed to stand-up and sustain continuity operations. *Example: vehicles and man-power to move equipment to alternate facility, additional communications capacity, vital records etc.*
- 2) Identify physical security measures and access control at alternate facility, including photo id badges, proximity cards, parking tags, keys, etc.
- 3) Coordinate with ERG Chief(s) to mobilize equipment and resources to alternate facility and prepare for essential staff to begin work.
- 4) Establish tracking system for cost and accountability of assigned equipment, procured resources, and consumable goods.
- 5) Report any resource shortfalls and request additional support from the State's Crisis Action Team.

### NDOT ERG Chiefs Responsibilities

- 1) When directed, mobilize equipment and resources to alternate facility, establish communications systems, set-up work spaces, and prepare for the arrival of essential staff.
- 2) Report any safety, security, operational, or infrastructure deficiencies discovered at alternate facility to the NDOT Leadership Team immediately.

### Deployment of Essential Staff

Continuity activations that occur during business hours will still require time to coordinate the mobilization of essential staff to an alternate facility.

Staff will not deploy to the alternate facility until directed to by the NDOT Leadership Team or their assigned ERG Chief.

### NDOT Leadership Team Responsibilities

- 1) Coordinate work schedules for essential staff working remotely and staff sharing operational resources and work space at the alternate facility.
- 2) Notify essential staff when activated; provide information regarding the alternative facility location, parking, when to arrive, and check-in procedures.
- 3) Track staff in Stand-By /Ready to Work status throughout the duration of the event.

### NDOT ERG Chiefs Responsibilities

- 1) Coordinate efforts to set-up workspace and establish communication capabilities to support essential staff activated to perform mission-essential functions.
- 2) Brief essential staff on alternate facility accommodations (e.g., building security, fire exits, safety measures, locations of rest rooms and break rooms, etc.).

### Essential Staff Responsibilities

- 1) Report to alternate facility or remotely connect on scheduled date/time and check-in with ERG Chief.
- 2) Report any issues or shortfalls regarding the ability to perform mission-essential functions to ERG Chief.

**Phase III: Continuity Operations**

Primary Objective: Support the continuous performance of mission-essential functions at the alternate facility (or remotely) for the duration of the continuity event. Establish Reconstitution Team to develop reconstitution plans.

Focus of Efforts:

**Execute Mission-Essential Functions**

Essential-Staff perform mission-essential functions and provide critical services for the duration of the continuity event.

**NDOT [Leadership Team] Responsibilities**

- 1) NDOT Director designates a Reconstitution Manager to develop the agency’s reconstitution plan. See Enclosure (6) Reconstitution Planning Guidance for details on the reconstitution planning process.
- 2) Coordinate regular communications to all NDOT employees, business partners and customers with updates regarding continuity operations.
- 3) Ensure mission-essential functions are maintained for the duration of the continuity event and request any additional support required from the State’s Crisis Action Team.

**NDOT ERG Chiefs Responsibilities**

- 1) Manage daily work schedule for each MEF, consider off-set arrivals/departures, and rotating shifts to accommodate workload with available space/equipment/resources.
- 2) Report operational status of MEF to NDOT [Leadership Team], as directed.

**Essential Staff Responsibilities**

- 1) Execute assigned mission-essential function(s).
- 2) Report any operational or communications issues impacting the execution of mission-essential functions to the ERG Chief immediately.

**Reconstitution Planning**

Develop a strategy to reconstitute ‘normal’ business operations.

**NDOT Reconstitution Manager and [Leadership Team] Responsibilities**

- 1) Work with the State’s Crisis Action Team to develop a reconstitution strategy.
- 2) Determine when to initiate reconstitution operations.

**Phase IV: Reconstitution**

Primary Objective: Transition mission-essential functions back to the primary operating facility and restore all suspended business operations.

Focus of Efforts:

**Execute Reconstitution Operations**

Transition from continuity operations back to 'normal' business operations. See Enclosure (6) Reconstitution Planning Guidance for details.

**Close-Out Alternate Facility**

Conduct a hotwash prior to leaving alternate facility and restore workspaces to pre-continuity conditions.

**[Leadership Team] Responsibilities**

- 1) Coordinate with ERG Chiefs and Alternate Facility Managers to close-out continuity operations.
- 2) Conduct NDOT Leadership Team hotwash.

**NDOT ERG Chiefs Responsibilities**

- 1) Ensures all essential-staff complete a hotwash prior to closing out continuity operations at the alternate facility.
- 2) Coordinate efforts to restore workspaces to pre-continuity conditions, ensure all equipment, resources, and personal items are removed from the alternate facility.

**After-Action Review**

Conduct After-Action Review of the NDOT continuity event, identify lessons learned, and publish an Improvement Plan. *(Applies to all parties who participated in the continuity event.)*

**[Leadership Team] and NDOT Continuity Manager Responsibilities**

- 1) Coordinates After-Action Review process.
- 2) Approves and implements Improvement Plan.

**NDOT ERG Chiefs and Essential-Staff Responsibilities**

- 1) Submit individual after-action review based on experience during continuity operations.
- 2) Participates in After-Action Review and executes improvement plan, as assigned.

## **SECTION IV: ADMINISTRATION, RESOURCES, and FUNDING**

### **IV-1 Administration**

Agencies should adopt a culture of “continuity readiness” to ensure their ability to organize and respond to a continuity event. Ultimately it is the responsibility of the Director of Nebraska Department of Transportation to ensure that NDOT is capable of maintaining essential services in the aftermath of an emergency that disrupts normal business operations.

The NDOT Continuity Working Group performed a Business Process Analysis to identify staff, resources, and equipment required to execute NDOT mission-essential functions. NDOT Leadership Team should incorporate continuity practices into daily business activities to ensure staff are prepared to perform continuity roles when a continuity event occurs.

While general administrative functions are not identified as a mission-essential function it is understood that some administrative work is necessary to effectively carry out continuity operations.

#### **A. Management oversight of administrative and logistical support operations**

NDOT Leadership Team will coordinate logistical support for continuity operations. The State’s Crisis Action Team (CAT) is available to assist agencies when additional resources are required to sustain essential functions during a continuity event. NDOT Leadership Team will coordinate with OCIO for the replacement or restoration of information technology infrastructure, services, applications, and data maintained by or hosted by OCIO. NDOT will continue to coordinate with business partners and support services for existing customers.

#### **B. NDOT Financial Advisor Responsibilities**

This continuity plan does not alter or impact NDOT’s standing financial responsibilities. Unless otherwise directed by the Director, financial management will continue according to normal business practices during continuity operations.

#### **C. Financial Oversight**

Financial oversight of existing budgetary authorities, policies, and procedures is not altered by this continuity plan.

### **IV-2 Human Resources for Continuity Operations**

#### **A. Personnel Coordination**

NDOT Leadership Team should consider essential-staff requirements identified to support mission-essential functions as a factor when assessing the agency’s future manpower requirements and organizational structure.

The NDOT Leadership Team should review and update the continuity plan to account for significant changes to the agencies organizational structure and

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prolonged vacancies for leadership positions and essential-staff roles supporting mission-essential functions.

NDOT Leadership should consider measures to cross-training staff and provide opportunities for staff to improve professional skills that will strengthen their ability to perform mission-essential functions when activated for continuity operations.

NDOT essential staff may be asked to perform tasks/functions outside of their daily job duties (within reason) and work in a nontraditional office setting, including sharing workspaces, equipment and resources.

B. Continuity Operations Daily Work Schedule

The State of Nebraska has a statutory responsibility to have state offices open from 8:00 am to 5:00 pm, Monday through Friday. To the extent possible, state services will remain available to the public during the agency's typical business hours, even when operating from an alternate facility during a continuity event. However it may be necessary to modify employee work schedules in order to execute mission-essential functions when faced with limited workspace, equipment, and resources. NDOT staff are expected to report for duty at their designated alternate facility or connect remotely during their assigned work hours, unless notified by NDOT Leadership Team of an alternate work schedule.

NDOT Leadership Team, will determine the hours of operation for personnel activated during a continuity event.

C. Stand-by / Ready to Work Status

The Director of State Personnel will issue an appropriate plan of action for the work status of impacted employees. The emergency situation will dictate the duration of the pay determinations and any further actions that may be required. The Director of State Personnel is authorized to place personnel in a Stand-By / Ready to Work status and will provide guidance to code agency leaders accordingly.

NDOT Leadership Team will notify staff of eligibility for Stand-by / Ready to Work status.

Employees placed in Stand-by Ready to Work status may be activated by NDOT Leadership Team to support continuity operations or notified to return to work at any point during the continuity event.

Employees may transition between "Active Work" status and "Stand-by / Ready to Work" status as necessary throughout the continuity event. Only NDOT [Leadership Team] may authorize the transition of eligible employees between Active and Stand-by work status based on directives from the State's Crisis Action Team.

D. Temporary Duty Assignments

Temporary reassignments of staff duties may be necessary to facilitate the execution of mission-essential functions. NDOT Leadership Team will coordinate the reassignment of staff to perform essential functions for continuity operations. Human Resource Managers should be consulted before moving staff to temporary duty assignments.

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E. Telework for Nonessential Work During Continuity Activations

Employees capable of teleworking *may* be authorized to perform nonessential work with consent from NDOT Leadership Team. Any work on nonessential functions, regardless of location, will not detract from or impede efforts to perform mission-essential functions. This includes remote access to the network, applications and data for nonessential work when IT systems and infrastructure are operating at a diminished capacity.

F. Recording Work Hours and Submitting Timesheets

Agencies shall utilize their existing procedures and applications for recording and submitting employee timesheets, if available.

The Director of State Personnel will provide direction to agency leaders on how to record hours for staff in a Stand-By / Ready to Work status. NDOT Leadership Team will be responsible for ensuring all employees are submitting timesheets accordingly.

G. Health and Safety

All alternate facilities activated during a continuity event will be: (1) of safe working condition (2) abide by applicable federal and state building codes for life safety and (3) compliant with the Americans with Disabilities Act (ADA).

H. Special Accommodations

NDOT Leadership Team should identify essential staff that require special accommodations to access alternate facilities and/or perform mission-essential functions in advance of a continuity event. Any special accommodations should be identified in Appendix 4: Alternate Facilities of the applicable functional annex. NDOT Leadership Team may request assistance from the State's Crisis Action Team when issues related to special accommodations arise during a continuity activation.

ERG Chief(s) should be informed of accommodations for essential staff assigned to work at an alternate facility. ERG Chief(s) will report any unmet needs/accommodations to NDOT [Leadership Team].

**IV-3 Resources**

A. Essential Records and Data

The required data and records identified to support MEFs are maintained in Appendix 5: Essential Records and Data of each functional annex.

NDOT [Leadership Team] should assess the agency's records management program to determine if additional measure are necessary to provide sufficient redundancies for essential records and data identified to support continuity operations.

B. Disaster Recovery Planning for Agency Applications and Databases

Disaster Recovery Plans apply to the recovery of Information Technology (IT) network infrastructures, systems, applications and data. OCIO *does not* have a

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blanket responsibility to restore all agency owned servers housed in OCIO's data center or agency specific applications and databases hosted on OCIO servers. While OCIO provides the IT infrastructure and services that allows for the transmission and storage of data, agencies maintain ownership of their data and must plan for the recovery of that data accordingly.

Agencies should develop a Disaster Recovery Plan for the recovery of agency owned IT infrastructure, databases and applications. NDOT Leadership Team should confirm with OCIO (and/or any other applicable vendors providing data services) what, if any, service agreements are in place to replicate NDOT data and restore NDOT applications and data.

NDOT Leadership Team should understand the Recovery Point Objective (RPO) for NDOT data to ensure essential data identified to support continuity operations is replicated within the agency's maximum allowable threshold or "tolerance" for data loss. The recovery time objective categories assigned to mission-essential function in this continuity plan are **not** related to recovery point objective and recovery time objectives assigned for Disaster Recovery Planning.

### C. Pre-Positioned Resources

The NDOT Continuity Manager should work with leadership to determine if pre-positioned equipment caches are necessary and if so, where the caches should be staged. Appendix 6: Equipment and Resources will identify equipment and resources assigned to essential staff for daily activities that will be mobilized to support continuity operations when activated.

## IV-4 Logistics Support

### A. Alternate Facilities

The NDOT Continuity Working Group identified options for alternate facilities with adequate space and resources to support continuity operations. For alternate facilities affiliated with NDOT (satellite offices, veterans' homes, etc.) an Alternate Facility Manager will be identified to serve as the single point of contact at that facility to assist with continuity activation.

For alternate facilities not affiliated with NDOT, the Director will establish a Memorandum of Understanding (MOU) with representatives of alternate facilities to ensure access to the facility, priority use of space, and shared use of communications and information technology systems and services at the facility when activated for continuity events. Agreements will be signed for each pre-identified alternate facility and maintained in the NDOT Continuity Plan.

NDOT Continuity Manager (*or designee*) should review all MOU agreements yearly to ensure the agreement continues to meet the agency's continuity requirements. Additional alternate facilities may be considered and MOU agreements signed to provide NDOT with additional facilities to support continuity operations based on the event and subsequent operating environment. *See Enclosure (3) Continuity Facilities for specific information regarding alternate facilities.*



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B. Drive-Away Kits

Drive-Away Kits are designed to support an individual or small team (2-3 staff) when activated for continuity operations. A drive-away kit can be a formal “duty bag” that’s assigned to staff on a rotating schedule or a simple “kit” of items that leaders incorporate into their briefcase or laptop bag they carry on a daily basis.

NDOT Leadership Team will determine the need for drive-away kits and develop policies and procedures deemed necessary to support continuity operations. Details pertaining to drive-away kits will be maintained in Appendix 6: Equipment and Resources of each functional annex.

C. Pre-positioned Equipment Caches

Pre-positioned equipment caches are designed to support a team of essential staff performing mission-essential functions at an alternate facility. Equipment caches are stored outside of the primary facility either at the alternate facility or an agencies satellite/field office. Equipment caches may include custom card-stock used for issuing certificates, or general supplies like power bars and extension cords.

NDOT Leadership Team will determine the need for pre-positioned equipment caches and develop policies and procedures deemed necessary to support continuity operations. Details pertaining to equipment caches will be maintained in Appendix 6: Equipment and Resources of each functional annex.

D. Transportation

Employees activated to work at an alternate facility or satellite location during continuity operations will be responsible for furnishing their own transportation. If necessary and appropriate NDOT Leadership Team may arrange for state-owned vehicles to be used to transport employees and equipment performing official duties. Reimbursement for staff use of personal vehicles to travel to and from an alternate facility will not be authorized unless approved by the Director. Employees activated to support continuity operations that are unable to travel to an alternate worksite must inform their ERG Chief or the NDOT Leadership Team upon learning of their activation.

E. Parking

NDOT [Leadership Team] should consider parking accommodations when selecting an alternate facilities. NDOT Leadership Team should work to develop a plan to address parking at the alternate facility when parking options are limited. Unless approved by the Director, employees will not be reimbursed for parking fees incurred during continuity operations. See Enclosure (3) Continuity Facilities for parking information for the alternate facility.

F. Lodging

Lodging of employees near the alternate facility will only occur in extreme circumstances. The Director will determine if lodging state employees is necessary during a continuity activation and make the necessary arrangements to either procure lodging or reimburse employees. Individuals who choose to make

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accommodations for lodging near the alternate facility will not be reimbursed by the State, unless preauthorized and directed to do so by the Director.

### G. Food

In most instances employees will be responsible for their own food while working at an alternate facility. NDOT Leadership Team should work with their Alternate Facilities Managers to identify break rooms, refrigerators, vending machines, and basic kitchenette resources in advance of a continuity activation. See Enclosure (3) Continuity Facilities for specific information regarding on-site resources at alternate facilities.

If emergency conditions cause a significant hardship to area food supplies, thus hampering employees' ability to support mission-essential functions, then the NDOT [Leadership Team] should coordinate with the State's Crisis Action Team to determine if canteen services can be provided to support essential staff working at alternate facilities. Employees will only be reimbursed for meals during a continuity activation when deemed necessary, and approved by the Director.

### H. Security and Access Controls

NDOT Leadership Team will review physical security and access control measures available at pre-identified alternate facilities to determine if additional measures are necessary. NDOT Leadership Team will coordinate with the Alternate Facility Manager to determine how NDOT staff will adhere to existing access controls at the facility or what may be done to increase the security posture. Details pertaining to physical security and access control measures will be maintained in Enclosure (3) Continuity Facilities.

### I. Site Support Procedures

Site support procedures are a list of actions identified to prepare the alternate facility to support continuity operations. NDOT Continuity Manager should work with ERG Chiefs and the Alternate Facility Manager to develop a list of procedures for accessing the alternate facility and preparing designated work areas. Site support procedures should include any additional network equipment that needs to be installed at the time of a continuity activation to provide access to the state network or increase the existing bandwidth. Site support procedures are maintained in Enclosure (3) Continuity Facilities for each alternate facility.

Appendix 4: Alternate Facilities of each functional annex may include site support procedures specific to the mission-essential functions outlined in the annex. For essential staff working at satellite locations or connecting remotely (using telework procedures), the site support procedures should outline how staff will connect to networks, report in, receive tasking, and communicate throughout the continuity activation.

## IV-5 Continuity Communications

The ability of NDOT staff to communicate is crucial to the execution of continuity operations. NDOT relies on the OCIO IT network and communications service providers

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to support NDOT business operations. Disruptions to telecommunications networks caused by physical damage or network congestion during an emergency will impede NDOT's ability to communicate with staff and coordinate continuity operations. NDOT Leadership Team will coordinate with the State's Crisis Action Team for communications support when continuity operations are activated. Appendix 7: Communications Capabilities of each functional annex identifies communication services and IT systems required to support mission-essential functions.

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**SECTION V: CONTINUITY PROGRAM and PLAN ADMINISTRATION**

**V-1 Continuity Program**

Per the State’s Continuity of Operations Policy (signed April 22, 2019), each state agency is responsible for adopting a Continuity Program to maintain and exercise continuity plans. The Director of Nebraska Department of Transportation should identify a Continuity Program Manager to administer the agency’s continuity program.

The Continuity Program Manager’s focus of efforts may include the following:

Developing and maintaining the agency’s Continuity of Operation Plan, including;

- Identifying equipment, resources, funding, and/or policies needed to support the continuity operations.
- Identifying alternate facilities, establishing MOU agreements, and maintaining a working relationship with Alternate Facility Mangers.

Developing and administering the agency’s Multi-Year Training and Exercise Plan, including;

- Conducting continuity training, testing, and exercise events to strengthen continuity plans and procedures.
- Conduct After-Action Reviews, identify lessons learned, and establish improvement plans following continuity exercises or activations.

Developing and administering the agency’s Multi-Year Strategy and Program Management Plan, including;

- Identifying short- and long-term continuity goals and objectives for the agency’s continuity program.
- Conducting a Risk Assessments and completing Business Impact Analyses.

Participate in State Continuity Working Group meetings and communicate the status of the agency’s continuity program to the State’s Continuity Manager.

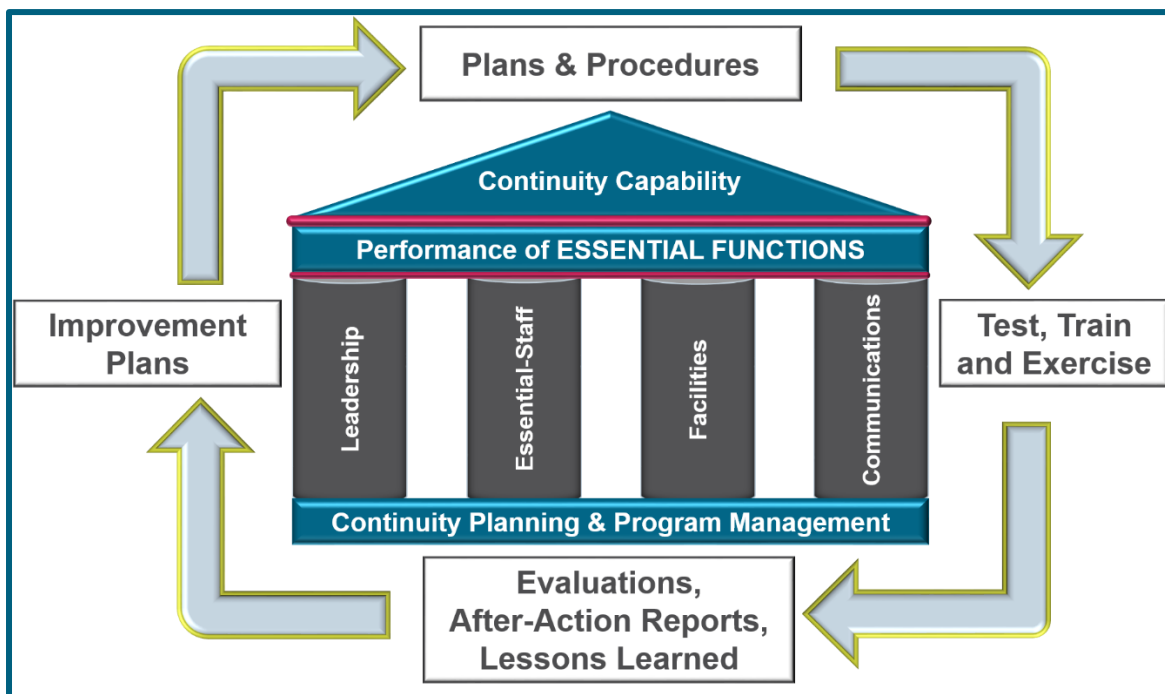
**Current NDOT Continuity Program Manager:**

T.J. Kripal  
Highway Emergency Program Specialist  
Operations Division  
Nebraska Department of Transportation  
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**A. Continuity Program Management Cycle**

A standardized continuity program management cycle ensures consistency across all continuity programs and supports the foundation and pillars that comprise the agency’s continuity capability. The cyclic-based model incorporates planning, training, evaluating, and the implementation of corrective actions. The model gives leaders and the continuity manager the baseline information, awareness, and

experience necessary to fulfill their continuity program management responsibilities. The continuity program management cycle, illustrated in *NDOT Continuity BASE Plan Figure 6: Continuity Program Management Cycle* should be used by all agencies as they develop and implement their continuity programs.



**NDOT Continuity BASE Plan Figure 6: Continuity Program Management Cycle**

**B. Test, Train, and Exercise**

A Multi-Year Training and Exercise Plan (TEP) is used to validate the agency’s continuity of operations plan and maintain the agency’s continuity capability. The State’s Continuity Administration provides guidance for developing a Multi-Year Training and Exercise Plan and is available to assist agencies with constructing and executing continuity exercises. The Continuity Administration Multi-Year Training and Exercise Plan Template provides more detailed information regarding the types of training and exercise events.

Reference: Continuity Administration-Multi-Year Training and Exercise Plan Template, maintained on the Enterprise Continuity SharePoint site (<https://sharepoint.nebraska.gov/as/coop/resources/>).

The Director of Nebraska Department of Transportation should ensure personnel receive adequate continuity training of the agency’s continuity of operations plan and procedures to be prepared to support continuity operations, if necessary. *NDOT Continuity BASE Plan Table 3: Preparedness Training by Focus Area* provides an example of the types of training an agency may incorporate into their Continuity Program.

**NDOT Continuity BASE Plan Table 3: Preparedness Training by Focus Area**

Continuity Training Focus Areas	Agency's Senior Leaders	ERG Chiefs	Essential Staff	All Staff
Agency's Continuity Plan Awareness	☑	☑	☑	☑
Agency's Alert and Notification Procedures	☑	☑	☑	☑
Continuity Activation Procedures	☑	<i>optional</i>		
Agency's Continuity Operations Procedures	☑	☑	☑	<i>optional</i>
Drive-Away Kits / Equipment Caches	☑	☑	<i>optional</i>	
Alternate Facility Site Support Procedures	☑	☑	<i>optional</i>	
Reconstitution Planning	☑	<i>optional</i>	<i>optional</i>	

**C. Evaluations, After-Action Reports, Lessons Learned**

Objective evaluations and assessments of testing and exercise events provides necessary feedback for the agency's continuity planning, procedures, and training. The following are examples of tools used to gather feedback following a continuity event or exercise.

Hotwash – A brief constructive conversation led by a facilitator, immediately following the conclusion of an activation or exercise event. The purpose of the Hotwash is to gather feedback from participants and discuss strengths and weaknesses. Participants typically list three positive and three negative experiences, otherwise known as 3up/3down. Feedback collected during the hotwash is used to develop after-action reports.

After-Action Report – A report designed to capture constructive feedback from participants after a continuity activation or exercise event. Participants complete an after-action report with details of their experiences and observations, recommendations for improvements, perceived operational impact if an issue is not addressed, and reasoning for incorporating new procedures into future operational plans. Individual after-action reports are then compiled to prepare for the after-action review and draft the final after-action report for the event.

After-Action Review – Conducted within 30-days of an exercise event or the conclusion of continuity operations to evaluate the effectiveness of operational plans and procedures. During the after-action review participants from the exercise/continuity event identify lessons learned, best practices, and action items for revising the agency's continuity of operations plan and procedures.

Final After-Action Report – Serves as the overall evaluation of an exercise or continuity event and can be used as a tool for assessing if the continuity program is

meeting the defined objectives. The final after-action report provides a historical account of the event and a bases for developing an improvement plan. See *Enclosure (6): Reconstitution Planning for sample After-Action Reports.*

D. Improvement Plans

An improvement plan is used to establish priorities and drive actions to improve the agency’s continuity of operations plan, procedures, and training. Issues identified in improvement plans may also be used to inform the agency’s budgetary decisions and policies. For an Improvement Plan to be effective, it must establish accountability and a timeline for completing the improvement actions identified in the plan. Improvement Plans are another tool used for assessing if the continuity program is meeting the defined objectives.

**V-2 Continuity of Operations Plan Review and Revision**

At minimum, once every calendar year, the NDOT Continuity Program Manager should review and update the agency’s Continuity Plan. All reviews and revisions to the continuity plan should be noted in the Record of Plan Review and Record of Changes tables at the beginning of the document. When the continuity plan undergoes a significant revision, then the agency Director should formally approve the new version of the plan. The State Continuity Manager should be notified of the new version and the agency should update files stored on the Continuity Administration’s SharePoint site. *NDOT Continuity BASE Plan Table 4: Suggested Schedule of Review and Revisions* provides a recommendation for the frequency and focus of efforts agencies may choose to adopt for maintaining continuity plans as part of the agency’s Continuity Program.

**NDOT Continuity BASE Plan Table 4: Suggested Schedule of Review and Revisions**

Frequency	Purpose	Focus of Efforts
Quarterly	Verify	Contact Rosters Essential-Staff Orders of Succession / Delegation of Authority Letters
Yearly	Confirm	Alternate Facility MOUs Devolution Agreements Functional Annexes <ul style="list-style-type: none"> <li>✓ Resources/Equipment</li> <li>✓ Essential Data/Records (<i>web-sites, hyperlinks</i>)</li> <li>✓ Communications Requirements</li> <li>✓ Procedures (<i>for supporting mission-essential functions</i>)</li> </ul>
Triennial	Validate	Policies ( <i>supporting or impacting continuity operations</i> ) Mission-Essential Functions Continuity Concept of Operations Continuity Procedures
As Needed	Event Driven	Triggered by changes in the agency’s; <ul style="list-style-type: none"> <li>✓ Statutory requirements / Contractual agreements</li> <li>✓ Leadership / Organizational structure</li> <li>✓ Services / Business Operations</li> <li>✓ Primary facility or satellite offices (<i>move to new offices</i>)</li> </ul>



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BACK COVER

**WARNING:** This document contains information FOR OFFICIAL USE ONLY and must be protected. This document includes information pertaining to the deployment, mobilization, and tactical operations of a State of Nebraska government agency in response to emergencies and is exempt from public disclosure under the provisions of NEB. REV. STAT. § 84-712.05(h).

**\*\*\*FOR OFFICIAL USE ONLY\*\*\***

**State's Crisis Action Team Notification Procedures for State Agencies**

**Purpose:** State Agency's should employ the following procedures to notify the State's Crisis Action Team of a continuity activation. These procedures apply to notifications made during business hours, after hours, weekends, and holidays.

**Applicability:** Agency Directors may activate continuity operations when an emergency event or credible threat cause the agency's facility to be unsafe or inaccessible for normal business operations.

**Authorities:** The State's Continuity of Operations Policy memorandum (signed April 22, 2019)

**Notifying State's Crisis Action Team of Continuity Activation**

1. Agency Director (*or designee*) contacts the OCIO Operations Center at **402-471-0462** (manned 24/7) to request a notification be made to the State's Crisis Action Team of a continuity event.
2. OCIO Operations Center staff will gather the following information from the Reporting party in an Incident Request (IR) using the Service Portal:
  - a. Reporting party's Name, Title, Agency
  - b. Callback phone number
  - c. Facility impacted (address) and facility owner (e.g., state-owned, leased, other)
  - d. Brief summary of incident (e.g., flood, fire, structural failure, environmental hazard, imminent threat to life safety, etc.)
  - e. Time incident occurred or when the party became aware of the threat/hazard
  - f. How the Reporting party became aware of the threat/hazard
  - g. Number of agency employees displaced by the incident (*if known*)
3. OCIO Operations Center will initiate the State Crisis Action Team Notification procedures to notify the DAS Director (*or designee*) of the Agency's continuity activation.
4. The DAS Director (*or designee*) will determine if/when to activate the Crisis Action Team.
  - a. If the decision is made to activate the Crisis Action Team, then the Director will call the Reporting party to advise of the scheduled Continuity conference bridge phone number, pin, and call time.
  - b. Continuity conference bridge phone number **888-820-1398**, Attendee Code **1551076#**
  - c. If the decision is made not to activate the Crisis Action Team, then the Director will call the Reporting party back and advise of the situation.
  - d. The Reporting party should anticipate a call back from the DAS Director (*or designee*) within 2-hours.

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# NEBRASKA

Good Life. Great Journey.

**DEPARTMENT OF TRANSPORTATION**



Jim Pillen, Governor

## RE: Appointment as an Alternate for Director

In accordance with Neb. Rev. Stat. §84-1101 et seq. I hereby appoint you to serve as the alternate Director in case of my unavailability after an attack. You are appointed as the first alternate.

If you accept this appointment you are responsible for keeping yourself informed on the powers, functions, duties, procedures, practices, and current business of the office. I will assist you keeping you informed.

This appointment shall remain in effect until withdrawn in accordance with the law or you withdraw your acceptance in writing.

Executed this 7 day of February, 2023.

Vicki Kramer  
Director

Vicki Kramer, Director

**Department of Transportation**

**MAILING ADDRESS**

PO Box 94759  
Lincoln, NE 68509-4759

**PHYSICAL ADDRESS**

1500 Nebraska Parkway  
Lincoln, NE 68502

**PHONE** 402-471-4567

**EMAIL** [NDOT.ContactUs@nebraska.gov](mailto:NDOT.ContactUs@nebraska.gov)

[dot.nebraska.gov](http://dot.nebraska.gov)

# NEBRASKA

Good Life. Great Journey.

DEPARTMENT OF TRANSPORTATION



Jim Pillen, Governor

RE: ACCEPTANCE as an Alternate for Director

## ACCEPTANCE

I, Moe Jamshidi, accept appointment to serve as the first alternate Director. I acknowledge my responsibility to keep myself informed about the position.

Executed this 8 day of February, 2023.

A handwritten signature in purple ink, reading "Moe Jamshidi", is written over a horizontal line.

Moe Jamshidi  
Deputy Director Operations

Vicki Kramer, Director

Department of Transportation

MAILING ADDRESS

PO Box 94759  
Lincoln, NE 68509-4759

PHYSICAL ADDRESS

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# NEBRASKA

Good Life. Great Journey.

**DEPARTMENT OF TRANSPORTATION**



Jim Pillen, Governor

## RE: Appointment as an Alternate for Director

In accordance with Neb. Rev. Stat. §84-1101 et seq. I hereby appoint you to serve as the alternate Director in case of my unavailability after an attack. You are appointed as the second alternate.

If you accept this appointment you are responsible for keeping yourself informed on the powers, functions, duties, procedures, practices, and current business of the office. I will assist you keeping you informed.

This appointment shall remain in effect until withdrawn in accordance with the law or you withdraw your acceptance in writing.

Executed this 9 day of February, 2023.

Vicki Kramer  
Director

Vicki Kramer, Director

**Department of Transportation**

**MAILING ADDRESS**

PO Box 94759  
Lincoln, NE 68509-4759

**PHYSICAL ADDRESS**

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# NEBRASKA

Good Life. Great Journey.

DEPARTMENT OF TRANSPORTATION



Jim Pillen, Governor

RE: ACCEPTANCE as an Alternate for Director

## ACCEPTANCE

I, Khalil Jaber, accept appointment to serve as the second alternate Director. I acknowledge my responsibility to keep myself informed about the position.

Executed this 10<sup>th</sup> day of February, 2023

Khalil Jaber  
Deputy Director Engineering

Vicki Kramer, Director

Department of Transportation

**MAILING ADDRESS**

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Lincoln, NE 68509-4759

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[dot.nebraska.gov](http://dot.nebraska.gov)



DEPARTMENT OF ADMINISTRATIVE SERVICES  
LINCOLN, NEBRASKA 68509

MEMORANDUM

FOR: Record

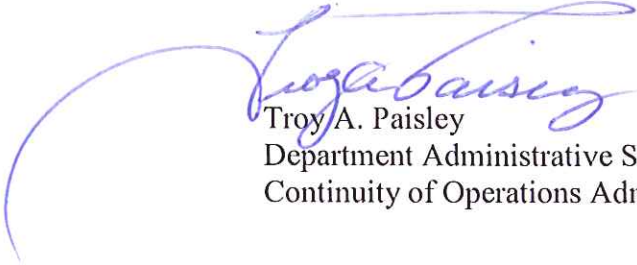
FROM: Department of Administrative Services, Continuity of Operations Administrator

RE: Nebraska Department of Roads (NDOR)

DATE: August 8, 2016

Devolution Plan

1. One of the elements of a sound continuity plan is having a devolution plan. Devolution requires the transition of roles and responsibility for performance of essential functions through pre-authorized delegation of authority and responsibility. The authorities are delegated from an organization's primary operating staff to other employees internal or external to the organization in order to sustain essential functions for an extended period of time.
2. In discussion with the NDOR and understanding their unique mission, divisional structure, and general decentralization across the state it was determined that the NDOR does not require a devolution plan.
3. The Point of Contact for this memorandum is the undersigned at (402) 277-6141 or [troy.paisley@nebraska.gov](mailto:troy.paisley@nebraska.gov)



Troy A. Paisley  
Department Administrative Service,  
Continuity of Operations Administrator

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# Reconstitution Plan

State of Nebraska,  
Nebraska Department of  
Transportation 1500 Nebraska Parkway  
Lincoln, Nebraska 68502



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## FOREWORD

The State of Nebraska, Nebraska Department of Transportation's (NDOT) mission is to provide the best possible statewide transportation system for the movement of people and goods. NDOT has eight strategic goals: safety, fiscal responsibility, environmental stewardship, project delivery, asset management, mobility, communication, coordination, collaboration, cooperation, and workforce development. To accomplish its mission and strategic goals, NDOT must ensure that operations continue during any emergency, with minimal disruption to its essential functions. NDOT's Continuity Plan provides direction and guidance to ensure their ability to conduct its mission and essential functions under all circumstances and conditions. The Continuity Plan is implemented based on four phases – Phase I: Readiness, Preparedness, and Activation, Phase II: Relocation, Phase III: Continuity Operations, and Phase IV: Reconstitution.

The Reconstitution Plan/Annex is a companion document to the NDOT Continuity Plan and focuses on the Continuity Plan implementation Phase IV: Reconstitution. This Plan/Annex provides general guidance and direction for surviving and/or replacement NDOT personnel to resume normal organizational operations from a primary operating facility, a temporary operating facility, or a new/rebuilt operating facility once the Governor, Director, or his/her designee determines that reconstitution operations for resuming normal business operations can be initiated. This Annex is fluid in that specific positions will be determined and assigned based on the type and severity of the incident and the operational needs of the agency and the State of Nebraska.

This Plan/Annex has been developed in accordance with guidance in National Security Presidential Directive (NSPD)-51/Homeland Security Presidential Directive (HSPD) – 20, The Federal Emergency Management Agency (FEMA) Continuity Guidance Circular (CGC) 1, July 2013, and other related directives and guidance.

Vicki Kramer  
State of Nebraska  
Nebraska Department of Transportation

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## CHAPTER 1 – INTRODUCTION

The NDOT Continuity Plan provides continuity planning, program direction, and guidance as a means of ensuring NDOT is capable of conducting its essential missions and functions under all threats and conditions. This Reconstitution Plan/Annex is a companion document to NDOT's Continuity program and focuses on resuming performance of the NDOT essential functions at the primary operating facility, a temporary facility, or a new or rebuilt operating facility after a continuity incident or once the threat of the incident is over.

### 1-1 PURPOSE

The Reconstitution Plan/Annex provides guidance and direction for ensuring the effective transition and phase-down of continuity operations at the continuity facility and transfer of essential functions, personnel, records, and equipment back to the NDOT primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.

### 1-2 APPLICABILITY AND SCOPE

This Plan/Annex applies to all NDOT senior leadership and staff. It addresses processes, procedures, activities, actions, operations, and resources necessary to ensure the effective transition from continuity operations back to normal operations.

### 1-3 RECONSTITUTION PLANNING LEVELS

Reconstitution planning levels have been created to focus and support the reconstitution planning process; a description of the levels is provided below.

- **Reconstitution Level 1 (Operational Planning):** The primary operating facility has suffered no damage or has been minimally damaged. Planning for this level of disruption focuses on returning operations to the primary operating facilities, which includes restoring normal operations with personnel, records, and equipment at the primary operating facility once the threat or disruption has ended. This level generally would last less than 30 days.
- **Reconstitution Level 2 (Short Term Planning):** The primary operating facility has been moderately damaged. Planning for this level of disruption focuses on moving operations to a temporary operating facility, which includes restoring normal operations with personnel, records, and equipment at a temporary operating facility. This level generally would last from one to six months.



- **Reconstitution Level 3 (Long Term Planning):** The primary operating facility has been severely damaged or damaged beyond repair. Planning for this level of disruption focuses on moving operations to a new or rebuilt operating facility, which includes restoring normal operations with personnel, records, and equipment at a new or rebuilt operating facility. This level generally will last six months or longer.

#### **1-4. PLAN/ANNEX ORGANIZATION**

The Reconstitution Plan (Annex 17) chapters and appendices are described below.

- Chapter 1, Introduction – Describes the plan purpose, applicability and scope, reconstitution planning levels, plan objectives, and planning assumptions.
- Chapter 2, Concept of Operations – Discusses how reconstitution will be implemented, either from a continuity facility.
- Chapter 3, Reconstitution Implementation – Describes the processes, procedures, activities, and actions associated with implementing reconstitution.
- Chapter 4, Resources and Capability Requirements – Describes the resources and capability requirements needed to transition back to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.

The appendices provide additional information and detail to enhance and further support the reconstitution plan implementation.

- Appendix A – Supplemental Checklists
- Appendix B – Contact Lists
- Appendix C – Space Requirements
- Appendix D – Phase Down Plan
- Appendix E – Essential Functions Reconstitution Priority
- Appendix F – After Action Report/Improvement Plan Template
- Appendix G – Acronyms

#### **1-5. OBJECTIVES**

The overall objectives of the NDOT’s Reconstitution Plan (Annex 17) is to identify and outline the processes and procedures to return to normal operations once the Governor, Director, or successor(s) determine that reconstitution operations for resuming normal business operations can be initiated. Specific plan objectives are listed below.

- Provide an executable plan for transitioning back to efficient normal operational status from continuity operations status, once a threat or disruptions has passed.
- Coordinate and pre-plan options for organizational reconstitution regardless of the level of disruptions that originally prompted the organization to implement its continuity plans. These options must include moving operations from the continuity facility to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.
- Outline and execute the necessary procedures, whether under a standard continuity of operations incident, for conducting a smooth transition from the continuity facility to the primary operating facility, a temporary operating facility, or a new/rebuilt operating facility.
- Ensure a safe location for the staff to resume normal operations.
- Reduce or mitigate disruptions to organization operations.
- Ensure and validate reconstitution operations readiness through an integrated continuity test, training, and exercise program and operational capability.

## **1-6 PLANNING ASSUMPTIONS**

NDOT Reconstitution Plan/Annex is based on the following assumptions:

- The emergency situation (continuity incident) has ended and is unlikely to reoccur.
- The Emergency Relocation Group (ERG) has relocated to a continuity facility in response to the emergency and has assumed essential functions.
- NDOT's essential functions were transferred to the continuity facility.
- The Operations Manager will serve as the organization's Reconstitution Manager.
- The Continuity facility and the ERG staff will support the transfer of NDOT's essential functions to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.

## **1-7 AUTHORITIES**

- Continuity Guidance Circular 1 (CGC 1): Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions), July 2013.
- Continuity Guidance Circular 2 (CGC 2): Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (State, Territories, Tribes, and Local Government Jurisdictions), October 2013.
- Nebraska, State Emergency Operation Plan, February 2014.
- Nebraska State Statute. 84-712.05(h).
- NDOT Continuity of Operations Plan, August 2016.

## **1-8. REFERENCES**

- NDOT Continuity of Operations Plan, August 2016.

## 1-9. DEFINITIONS

Terms that are unique to the Reconstitution Plan (Annex 17) are defined below.

- **Continuity of Operations:** An effort within individual agencies to ensure they can continue to perform their Mission Essential Function (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.
- **Devolution:** The capability to transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other organization employees and facilities, and to sustain the operational capability for an extended period of time. NDOT does not use this option at this time.
- **Devolution Emergency Response Group (DERG):** Regional, interagency, and available headquarters staff that assume the responsibility and execution of headquarters essential functions during a Devolution of Operations activation. Not used at this time.
- **Emergency Relocation Group (ERG):** Pre-designated staff that move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.
- **Essential Functions:** The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions (NEFs), Primary Mission Essential Functions (PMEFs), and MEFs.
- **Reconstitution:** The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.
- **Reconstitution Level:** The planning effort required to restore and organization to pre-incident operating status. Level 1 (Operational Planning) – the primary operating facility has suffered no or minimal damage, Level 2 (Short Term Planning) – The primary operating facility has been moderately damaged and may take six months to restore, the organization may require temporary facilities to continue operations after an incident, Level 3 (Long Term Planning) – The primary operating facility has been severely damaged or damaged beyond repair and may take a year or longer to restore or rebuild. The use of a temporary facility will be required to continue the organization's mission after an incident.
- **Reconstitution Phases:** Reconstitution is comprised of three phases including; Phase I: Preparedness, planning and preparing to support reconstitution operations; Phase II: Reconstitution Operations, transitioning from an alternate facility to normal operations at the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility; and Phase III: Post-Reconstitution, normal operations, after action review, and development of After Action Report/Improvement Plan (AAR/IP).

## **1-10. RESPONSIBILITIES**

- The Operations Manager or successor: Leads the NDOT's reconstitution planning effort, to include the development of the Reconstitution Annex and implementing processes and procedures.
- NDOT Director or successor: Activates the Reconstitution Plan/Annex, in consultation with the Governor or his/her designee.
- The Operations Manager: Identifies, coordinates, and trains personnel who will support reconstitution operations.
- Reconstitution Planning Team Member(s): Supports development of the Reconstitution Annex and the processes and procedures to resume NDOT's operations at the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility.
- The NDOT's Divisions and Offices: Ensure the Reconstitution Team is trained, equipped, and has access to all vital records, databases, and supporting materials to facilitate the transition of essential functions and responsibilities from NDOT's continuity facility back to the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility after the continuity incident has ended.
- Facility Inspection Team (FIT): In the event of a major disaster causing significant damage to a facility, the FIT will be called in to work with facility staff to assess damage and provide recommendations for restoring the facility to its original condition. The FIT includes members of the State Building Division, 309 Task Force for Building Renewal, and external consultants (i.e. structural engineers, electrical and mechanical engineers) as needed. The FIT's assessment review is not intended to replace or supplant the duties of the authority having jurisdiction, such as the State Fire Marshal's Office, local fire/rescue/police responders, hazard mitigation responders, or other designated emergency response entities.

## CHAPTER 2 – CONCEPT OF OPERATIONS

Reconstitution comprises three phases, as described below, and focuses on ensuring NDOT readiness to perform the roles and responsibilities associated with reconstitution operations; executing the reconstitution activities and action, processes and procedures; and reviewing and evaluating the reconstitution process once the continuity event or incident is over.

**Figure 2.1 Three Phases of Reconstitution**

<b>Phase I: Preparedness</b>	Planning and Preparing for Reconstitution	Plans and Procedures, Agreements, Training and Exercise
<b>Phase II: Reconstitution Operations</b>	Transitioning from Continuity Status to normal Operations	Transferred Essential Functions
<b>Phase III: Post-Reconstitution</b>	Resuming Normal Operations Conducting After Action Reviews	Normal Operations, After Action Report, and Corrective Action Plan

In addition to the phases of reconstitution, reconstitution levels, as described below, have been established to support the planning process and focus the level of effort based on the situation.

Reconstitution Level	Description
<b>Level 1 (Operational Planning)</b>	The primary operating facility has suffered no damage or has been minimally damaged. Planning for this level of disruption focuses on returning operations to the primary operating facilities, which includes restoring normal operations with personnel, records, and equipment at the primary operating facility once the threat or disruption has ended. This level generally would last less than 30 days.
<b>Level 2 (Short Term Planning)</b>	The primary operating facility has been moderately damaged. Planning for this level of disruption focuses on moving operations to a temporary operating facility, which includes restoring normal operations with personnel, records, and equipment at a temporary operating facility. This level generally would last from one to six months.
<b>Level 3 (Long Term Planning)</b>	The primary operating facility has been severely damaged or damaged beyond repair. Planning for this level of disruption focuses on moving operations to a new or temporary primary operating facility, which includes restoring normal operations with personnel, records, and equipment at a new or rebuilt operating facility. This level generally will last six months or longer.

## **2-1. PHASE I. PREPAREDNESS – PLANNING AND PREPARING FOR RECONSTITUTION**

During Phase I, NDOT will focus on staff and resource readiness to perform and/or support reconstitution and post-reconstitution operations. Key activities during this phase include those listed below.

- Develop reconstitution plans, procedures, and processes
- Develop checklists and key personnel contact lists
- Develop vital records list
- Develop reconstitution packet
- Identify the Reconstitution Manager and potential Reconstitution Team Members
- Identify, train, and exercise the Facility Inspection Team (FIT).
- Establish and enter into memorandums of understanding/memorandum of agreements (MOU/MOA)
- Conduct training and exercises for continuity/reconstitution personnel

## **2-2. PHASE II: RECONSTITUTION OPERATIONS – TRANSITIONING TO NORMAL OPERATIONS**

During Phase II, NDOT will focus on transferring the essential functions from the continuity facility back to normal operations either at the primary facility, a temporary operating facility, or a new or rebuilt operating facility. Specific actions and activities performed during this phase include but are not limited to, those listed below.

- Convene the Reconstitution Team
- Assess the threat/hazard
- Evaluate safety and habitability of primary operating facility
- Recover salvageable items and security equipment (i.e., classified or sensitive materials, communications security equipment)
- Conduct system and communications checks
- Assess reconstitution level
- Conduct facility safety inspection of primary operating facility, temporary operating facility, or new/temporary operating facility
- Coordinate and collaborate with senior leadership and key stakeholders
- Maintain communications with the COOP Support Team (CST) staff

## **2-3. PHASE III: POST-RECONSTITUTION-RESUMING NORMAL OPERATIONS AND CONDUCTING AFTER ACTION REVIEW**

During Phase III, NDOT will focus on conducting normal operations, shutting down operations at the temporary continuity site, and reviewing and evaluating the overall reconstitution process by conducting an after action review for the purpose of evaluating the effectiveness of the reconstitution policy, plans, processes, and procedures. Through this review, NDOT will identify lessons learned, best practices, and improvement needs.

An after action report (AAR) and improvement plan (IP) will be developed. Specific activities performed during this phase include those listed below.

- Implement phase down plan
- Conduct normal operations
- Conduct post-reconstruction hot wash
- Document and evaluate review findings
- Develop after action report and improvement plan
- Update or revise Reconstitution Plan/Annex


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## CHAPTER 3 – RECONSTITUTION IMPLEMENTATION

The primary objective during reconstitution is to transition from continuity operations back to normal operations with minimal disruption to the performance of essential functions. Reconstitution implementation is executed in three phases, as described in Figure 3.1. For each implementation phase and reconstitution level, there are specific activities and actions to be accomplished. The remainder of this section addresses the reconstitution implementation activities, actions, processes, and procedures.

**Figure 3.1 Reconstitution Implementation Process**



Phase I: Preparedness	Phase II: Reconstitution Operations	Phase III: Post-Reconstitution
<ul style="list-style-type: none"> <li>• Develop plans, Procedures, and agreements</li> <li>• Conduct Training and Exercises</li> </ul>	<ul style="list-style-type: none"> <li>• Account for personnel</li> <li>• Conduct Assessments and Recovery Operations</li> <li>• Prepare facilities</li> <li>• Transfer Essential Functions</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct Phase Down Activities</li> <li>• Develop After Action Report/Improvement Plan</li> <li>• Update/Revise Reconstitution Plan/Annex</li> </ul>

### 3-1. PREPAREDNESS

The planning and preparedness activities conducted during Phase I ensure that NDOT staff, alternate facility staff, and other supporting entities are familiar with and capable of supporting reconstitution Phase II and III. Described in the table below are the reconstitution levels and associated planning activities and actions.

**Reconstitution Level 1 (Operational Planning).** Listed below are the preparedness activities and actions to be conducted for returning operations to the primary operating facility.

**Table 3.1 Reconstitution Level 1 Preparedness Activities and Actions**

**RECONSTITUTION LEVEL 1**

- Plans and Procedures
  - Develop a building assessment checklist
  - Identify location of classified materials (sensitive?)
  - Identify location of vital records storage areas
  - Develop equipment recovery and salvage plan/checklist
  - Develop information and instructions to organization personnel on when and how to resume normal operations
  - Develop a contact list of key personnel internal and external to NDOT
  - Develop procedures for supervising an orderly move to the primary operating facility
  - Develop procedures for resuming operations at the primary operating facility
  - Develop procedures to verify all systems, communications, and required capability are available and operational
  - Develop reporting and communications requirements operating procedures
  - Develop guidance and provide training for developing the Continuity Status Report (CSR) on reconstitution status
  - Develop guidance for conducting the after action review and developing the after action report/improvement plan
  - Develop and document Level 1 Reconstitution Planning Team operating procedures
  - Establish and document a process for assessing the status of primary operating facility
  - Establish and document Level 1 space requirements.
  - Establish and document a priority-based phased approach to reconstitution
- Personnel/Staff:
  - Identify a Reconstitution Manager
  - Identify Reconstitution Planning Team members
  - Identify potential Reconstitution Team Members
  - Develop and train a Facility Inspection Team (FIT)

**Reconstitution Level 2 (Short Term Planning).** Listed below are the preparedness activities and actions to be conducted for moving operations to a temporary operating facility.

**Table 3.2 Reconstitution Level 2 Activities and Actions**

**Reconstitution Level 2**

- Plans and Procedures:

- Develop a building assessment checklist
- Identify location of classified materials
- Identify location of vital records storage areas
- Develop equipment recovery and salvage checklist/plan
- Develop information and instructions to organization personnel on when and how to resume normal operations
- Develop a contact list of key personnel internal and external to NDOT
- Develop procedures for supervising an orderly move to the temporary operating facility
- Develop procedures to verify all systems, communications, and required capability are available and operational.
- Develop reporting and communications requirements operating procedures
- Develop guidance and provide training for developing the Continuity Status Report (CSR) on reconstitution status
- Develop guidance for documenting the after action review and developing the after action report/improvement plan
- Develop and document Level 2 Reconstitution Planning Team operating procedures
- Establish and document a process for assessing the status of temporary operating facility
- Establish and document a priority-based phased approach to reconstitution

- Personnel/Staff:

- Identify a Reconstitution Manager
- Identify Reconstitution Planning Team Members
- Identify potential Reconstitution Team Members
- Identify and train a Facility Inspection Team (FIT)

**Reconstitution Level 3 (Long Term Planning).** Listed below are the preparedness activities and actions to be conducted for moving operations to a new or rebuilt operating facility.

**Table 3.3 Reconstitution Level 3 Preparedness Activities and Actions**

**RECONSTITUTION LEVEL 3**

- Plans and Procedures
  - Develop a building assessment checklist
  - Identify location of classified materials
  - Identify location of vital records storage areas
  - Develop equipment recovery and salvage plan/checklist
  - Develop information and instructions to organization personnel on when and how to resume normal operations
  - Develop procedures on how to account for organization personnel
  - Develop a contact list for key personnel internal and external to NDOT
  - Develop procedures for supervising an orderly move to a new/restored facility
  - Develop procedures to verify all systems, communications, and required capability are available and operational.
  - Develop reporting and communications requirements operating procedures
  - Develop guidance and provide training for developing the Continuity Status Report (CSR) on reconstitution status.
  - Develop guidance for conducting the after action review and developing the after action report/improvement plan
  - Develop Level 3 Reconstitution Planning Team operating procedures
  - Establish and document a process for assessing the status of the affected facility.
  - Establish and document Level 3 space requirements
  - Establish and document a priority-based phased approach to reconstitution
- Personnel/Staff:
  - Identify a Reconstitution Manager
  - Identify a Reconstitution Planning Team members
  - Identify potential Reconstitution Team members
  - Develop and train a FIT

The planning and preparedness activities conducted during Phase I ensure that NDOT staff, alternate facility staff, and other supporting entities are familiar with and capable of supporting reconstitution Phases II and III. Described in the table below are the reconstitution levels and associated planning activities and actions.

### **3-2. RECONSTITUTION OPERATIONS**

Reconstitution operations begin when the Director in consultation with the Governor or his/her designee, or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. NDOT senior leadership makes the decision to begin reconstitution operations and determines the required reconstitution level. The decision regarding the reconstitution level will be based on the status of the primary operating facility. Determining the status of that facility will include the following actions.

**Assess the primary operating facility.** During continuity operations, the Facility Insection Team (FIT) assesses the status of the primary operating facility. This assessment will determine the reconstitution level.

1. Upon determining the status of the primary operating facility, the FIT determines the amount of time needed to repair the facility. This determination is made in conjunction with the Crisis Action Team (CAT). Should the FIT decide to repair the primary operating facility, the FIT is responsible for supervising the repair process and notifying the CAT of the status of repairs, including estimates of when the repairs will be completed.
2. The determination also will be made regarding the structural safety of the building and the viability of conducting salvage/restoration/recover operations.

**Evaluate assessment results.** Based on the assessment results, and the determination will be made regarding the required reconstitution level and associated next steps.

Once the reconstitution level is determined, the processes and procedures described below will be implemented. It should be noted that these processes and procedures are the same regardless of the reconstitution level; however it is the reconstitution level that determines the degree to which they are executed.

**Table 3.4 Reconstitution Operations Processes and Procedures**

Process/Procedure	Description
<p>Conduct building assessment/salvage/restoration/recovery operations</p>	<p>Within 6 hours of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover NDOT's primary operating facility after coordination with the appropriate local, state and Federal law enforcement and emergency services:</p> <ul style="list-style-type: none"> <li>• The Operations Manager serves as the Reconstitution Manager for the overall reconstitution process.</li> <li>• Each NDOT division designates a reconstitution point of contact to work with the Reconstitution Team and update office personnel on developments regarding reconstitute and provide names of reconstruction points of contact to NDOT within 72 hours of the Continuity Plan activation.</li> </ul> <p>Note: In performing these operations, when working in a classified environment, security requirements for handling classified information must be considered.</p>
<p>Conduct security, safety, and health assessment</p>	<p>Before relocating to the primary operating facility, a temporary operating facility, or new or rebuilt operating facility, the Facility Inspection Team conducts a security, safety, and health assessments to determine the facility suitability.</p> <ul style="list-style-type: none"> <li>• The communication/IT team verifies that all systems, communications, and other required capabilities are available and operational and that NDOT is fully capable of accomplishing all essential functions and operations at the primary operating facility, temporary operating facility, or new/temporary replacement facility.</li> </ul>

Process/Procedure	Description
<p>Reoccupy primary operating facility, move to a temporary operating facility, or a new or rebuilt operating facility</p>	<p>Once NDOT or other authorized person makes the decision that NDOT’ primary operating facility can be reoccupied or that NDOT will re-establish in a temporary operating facility or new or rebuilt operating facility, the following steps are taken:</p> <ul style="list-style-type: none"> <li>• The NDOT Continuity Manager or other authorized individual notifies the Division Administrator. The following information regarding continuity activation and relocation status will be provided: continuity activation and relocation status, alternate location, operational and communication status, and anticipated duration of relocation.</li> </ul> <p>The Building Division and Operations Manager develops space allocation and facility requirements.</p> <ul style="list-style-type: none"> <li>• The Director or Operations Manager notifies all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using telephonic or email communication.</li> <li>• The Operations Manager coordinates with personnel, records, NEMA, and or other applicable organization.</li> <li>• The Division Manager develops procedures, as necessary, for restructuring staff.</li> </ul>
<p>Phase-down and return of personnel, equipment, and documents</p>	<p>Upon verification that the required capability are available and operational the NDOT is fully capable of accomplishing all essential functions and operations at the primary operating facility, a temporary operating facility, or new or rebuilt operating facility, the director and Operations Manager begins supervising a return of personnel, equipment, and documents to the appropriate operating facility.</p> <ul style="list-style-type: none"> <li>• The phase-down and return of personnel, functions, and equipment follows the priority-based plan and schedule. See Appendix D-Phase-Down Plan</li> <li>• NDOT begins development of specialized return plans based on the incident and facility within 12 hours of plan activation.</li> </ul>

Process/Procedure	Description
Cease continuity operations at continuity facility and transfer essential functions	<p>NDOT continues to operate at its continuity facility until ordered to cease operations by the Director, in consultation with the Governor or his/her designee using either telephone or email.</p> <ul style="list-style-type: none"> <li>• Essential functions transfer to the primary operating facility, a temporary operating facility, or new or rebuilt operating facility. See Appendix E-Essential Functions.</li> <li>• Instruct NDOT personnel on how to resume normal operations as outlined below. Note: NDOT develops specialized resumption plans based on the incident and facility within 12 hours of plan activation.</li> </ul>
Identify records affected by the incident and transition or recover vital records and databases	<p>NDOT identified records affected by the incident within 24 hours.</p> <ul style="list-style-type: none"> <li>• The Operations Manager effectively transitions or recovers vital records and databases, as well as other records that were not designated as vital records, using the plan outlined below.</li> <li>• NDOT develops specialized vital records transition and recover plans based on the incident and facility within 12 hours of plan activation.</li> </ul>
Transfer essential functions, cease continuity operations, and deploy to the primary operating facility, temporary operating facility or new or rebuilt operating facility	<p>When the personnel, equipment, and documents are in place at the primary operating facility, temporary operating facility, or new or rebuilt facility, the remaining NDOT staff at the continuity facility transfer essential functions, cease operations, and deploy to the primary operating facility.</p> <ul style="list-style-type: none"> <li>• The Director or Operations Manager oversee(s) the orderly transition of all NDOT functions, personnel, equipment, and records to the primary operating facility, or new facility.</li> <li>• The Operations Manager develops a process for receiving and processing employee claims during the continuity incident, including processing human capital claims (including workman's compensation for injuries, overtime pay, etc.) and replacing lost or broken equipment.</li> </ul>
Prepare to conduct after action review	NDOT prepares to conduct an after action review, and develop and AAR/IP



### 3-3 POST-RECONSTITUTION

NDOT implements post-reconstruction activities after the continuity incident is over and focuses on conducting normal operations, implementing the shutdown plan, and reviewing and evaluating the reconstitution implementation process, this included developing an AAR/IP for the purposes of summarizing the reconstitution incident, identifying opportunities to improve and enhance the organization’s continuity program, plans, and capabilities; and developing an approach to implementing improvements. The post-reconstitution activities described below apply regardless of the reconstitution level.

**Table 3.5 Post-Reconstitution Activities and Actions**

Process/Procedure	Description
Conduct normal operations	The Reconstitution Manager provides guidance and oversight for overseeing implementation of continuity site shut down plan and ensuring the operational readiness of key elements such as communications, information technology, vital records, human resources, etc.
Implement shutdown plan	The Reconstitution Manager, in coordination with Director or his/her designee, conducts a hot wash within 45 days after the NDOT has returned to normal operations. <ul style="list-style-type: none"> <li>The hot wash should include as many participants or members of the Reconstitution Team as possible.</li> </ul>
Conduct after action review meeting	The Reconstitution Manager conducts a full after action review meeting once in the primary operating or new operating facility. This meeting is conducted within 2 weeks after resuming normal operations. <ul style="list-style-type: none"> <li>The Operations Manager completes the review after all offices within NDOT have the opportunity to provide input.</li> <li>The after action review studies: the effectiveness of the Reconstitution Annex processes, procedures, actions, and activities; identified lessons learned; best practices; issues; concerns; and areas for improvement.</li> <li>Key NDOT personnel should review the information gathered during the hot wash, add individual observations, and analyze data/comments in the context of the NDOT’ Continuity Plan</li> </ul>
Develop after action report/improvement plan	The after action report/improvement plan (AAR/IP) provides feedback to NDOT senior leadership, key personnel, and continuity planners that summarizes the reconstitution implementation process <ul style="list-style-type: none"> <li>Input for the AAR/IP derived from the results of the after action review and provides the general foundation for the report.</li> <li>The NDOT AAR/IP is developed once the findings from the AAR are evaluated. Key elements of the plan include: <ul style="list-style-type: none"> <li>Lessons learned and best practices</li> <li>Areas for improvement and recommendations</li> <li>Corrective actions and implementation plans</li> </ul> </li> </ul>

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## CHAPTER 4 – RESOURCES AND CAPABILITIES REQUIREMENTS

A key planning element is to identify and ensure the availability of the resources and capabilities needed to support reconstitution operations. This includes resources such as people, equipment, furniture, and supplies and capabilities such as internet connectivity, communications, and information technology. Ensuring that these requirements can be met is key to NDOT’s ability to effectively transfer and continue performance of normal functions at its primary operating facility, temporary operating facility or new/rebuilt operating facility. The specific requirements will depend on the reconstitution level, but in general the requirements will be similar. Described below are the requirements for each reconstitution level.

### 4-1 RECONSTITUTION LEVEL 1 (OPERATIONAL PLANNING)

NDOT resource and capability requirements to support reconstitution operations under reconstitution level 1 include, but are not limited to those listed below.

**Table 4.1 Reconstitution Level 1 Resource and Capability Requirements Example**

Process/Procedure	Description
Personnel	
Space	[Amount] offices, [square feet] each [Amount] cubicles, [square feet] each [Amount] conference rooms, [square feet] each
Furniture	[Amount] desks [Amount] chairs [Amount] workstations [other]
Communications	[Amount] telephones [Amount] facsimiles [Amount] other
Information Technology	[Amount] desktop computers [Amount] laptops
Internet Access	[insert specifications/requirement]
Local Area Network	[insert specification/requirement]
Video Teleconference	[insert specification/description]
Landlines	[insert specification/description]
Backup power	[insert specifications/description]
[Other]	[insert specification/description]

### 4-2 RECONSTITUTION LEVEL 2 (SHORT TERM PLANNING) Example

NDOT resource and capability requirements to support reconstitution operations under reconstitution operations under reconstitution level 2 include, but are not limited to those listed below.

Process/Procedure	Description
Personnel	[position/title] [position/title] [position/title]
Space	[amount] offices, [square feet] each [amount] cubicles, [square feet] each [amount] conference rooms, [square feet] each
Furniture	[amount] desks [amount] chairs [amount] workstations [other]
Communications	[amount] telephones [amount] facsimile machines [other]
Information Technology	[insert amount] desktop computers [insert amount] laptops
Internet Access/Connection	[insert specification/requirements]
Local Area Network	[insert specifications/requirements]
Video Teleconference	[insert specifications/description]
Landlines	[insert specifications/description]
Backup Power	[insert specifications/description]

#### 4-3 RECONSTITUTION LEVEL 3 (LONG TERM PLANNING) Example

NDOT' resource capability requirements to support reconstitution operations under reconstitution level 3 include, but are not limited to those listed below. Based on this level, the primary operating facility is uninhabitable/unusable and will remain unavailable for an undetermined length of time.

**Table 4.3 Reconstitution Level 3 Resource and Capability Requirements**

Process/Procedure	Description
Personnel	[position/title] [position/title] [position/title]
Space	[amount] offices, [square feet] each [amount] cubicles, [square feet] each [amount] conference rooms, [square feet] each
Furniture	[amount] desks [amount] chairs [amount] workstations [other]
Communications	[amount] telephones [amount] facsimile machines

	[other]
Information Technology	[insert amount] desktop computers [insert amount] laptops
Internet Access/Connection	[insert specification/requirements]
Local Area Network	[insert specifications/requirements]
Video Teleconference	[insert specifications/description]
Landlines	[insert specifications/description]
Backup Power	[insert specifications/description]
Physical Security	[insert description]
Parking	[insert description]
Public Transportation Access	[insert description]
Special Accommodations	[insert description]

**APPENDIX A: SUPPLEMENTAL CHECKLIST EXAMPLE**

**FIT TEAM CHECKLIST**

### Reconstitution Planning Team

Titles/Organization	Primary	Alternate
Reconstitution Manager	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [senior leadership]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [senior leadership]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from facilities/building division]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from Risk]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from Personnel]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from Human Resources]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from NDOT IT]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from TF 309]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:
[insert title] [representative from Materiel]	Name: E-mail: Telephone: Mobile:	Name: E-mail: Telephone: Mobile:

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**APPENDIX C: SPACE REQUIREMENTS**

**Minor Incident:** Any incident that is likely to require the partial relocation of personnel and department resources. These incidents are typically short-term in nature, many only affect a portion of a primary operating facility, and would not require the full activation of the COOP Plan.

Agency	Division	ERG Count	Facility	Room

**Major Incident:** Any Incident that would require the full relocation of personnel and resources of the Department. A major incident would typically result from a disruption of services at the primary facility for up to 30 days, and would require the staffing of the alternate facility full-time during that period.

Agency	Division	ERG Count	Facility	Room

\*Legal, Risk, and Employee Relations

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**APPENDIX D: Phase Down Plan**

<b>Priority#</b>	<b>Action/Activity</b>	<b>Responsible POC</b>
<b>1.</b>	Verify that electrical requirements are met	Building Division FIT
<b>2.</b>	Verify IT/Communications requirements are met	NDOT IT & FIT
<b>3.</b>	Furniture check implemented and met	Building Division FIT
<b>4.</b>	Develop a Phased reoccupation	Building Division FIT
<b>5.</b>	Movement of Files and equipment	Building Division
<b>6.</b>	Clean and turn in all keys from COOP Site	Building Division

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## APPENDIX E: AFTER ACTION REPORT/IMPROVEMENT PLAN

Personnel are encourage to provide constructive feedback after COOP Reconstitution operations or exercises are complete. Indeed, this is critical step in the “preparedness cycle” illustrated below. A simple format that personnel are asked to use in providing feedback is the *issue, discussion, recommendation* format. Identification of the *issue* good or bad, providing a concise *discussion* of what the issue is, and then providing a constructive *recommendation* of how to either sustain or improve provides planners and supervisors nuggets of information that can improve the agencies overall emergency preparedness.



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## APPENDIX F: ACRONYMS

AAR	After-Action Report
CAT	Crisis Action Team
CGC	Continuity Guidance Circular
COG	Continuity of Government
COOP	Continuity of Operations
CST	Continuity Support Team
CSR	Continuity Status Report
ERG	Emergency Relocation Group
ESF	Essential Support Functions
FIT	Facility Inspection Team
FEMA	Federal Emergency Management Agency
HSPD	Homeland Security Presidential Directive
IP	Improvement Plan
IT	Information Technology
MEF	Mission Essential Functions
MOA/MOU	Memorandum of Agreement/Memorandum of Understanding
NDOT	Nebraska Department of Transportation
NEF	National Essential Functions
NEMA	Nebraska Emergency Management Agency
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Functions

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**Pete Ricketts**  
Governor

# STATE OF NEBRASKA

OFFICE OF THE GOVERNOR  
P.O. Box 94848 • Lincoln, Nebraska 68509-4848  
Phone: (402) 471-2244 • [pete.ricketts@nebraska.gov](mailto:pete.ricketts@nebraska.gov)

## MEMORANDUM

TO: State Mail Distribution  
All State of Nebraska Agency Directors

FROM: Governor Pete Ricketts

DATE: April 22, 2019

RE: CONTINUITY OF OPERATIONS POLICY

### 1. Purpose.

A viable continuity capability is fundamental to the resilience of Nebraska and the ability of state government to continually provide essential services during periods of emergency or imminent threats. Continuity planning is an inherent responsibility of state government to ensure state agencies can continue to perform essential functions and provide critical services to the citizens of Nebraska during a disruption to normal business operations.

This Continuity of Operations Policy memorandum provides direction to state government departments and agencies for developing continuity plans and programs and defines how continuity operations will be organized and coordinated during a continuity event.

### 2. Continuity Plans and Programs.

It is the policy of the State of Nebraska to maintain a comprehensive and effective continuity capability. As such, each state agency is responsible for establishing a Continuity of Operations Plan and adopting a Continuity Program to maintain and exercise continuity plans.

### 3. Continuity of Operations.

State Agency Director's may activate their Continuity of Operations Plan when an emergency event or imminent threat causes the agency's facility(s) to be uninhabitable or inaccessible for normal business operations, thus disrupting the agency's ability to perform essential functions and services. Agency Director's shall notify the State's Crisis Action Team of the decision to activate continuity operations.

The State's Crisis Action Team will convene to, support state agencies with the activation of continuity operations, coordinate state resources, and ensure effective and efficient reconstitution of normal business operations. The State's Crisis Action Team will assess the overall impact of the emergency/threat on state personnel and government operations and provide situational updates to the Governor, as warranted. The State's Crisis Action Team will be led by the Director of Administrative Services and may include; the State Building Division Administrator, Director of State Personnel, Risk Management Administrator, Enterprise Continuity Manager, OCIO IT Administrator for Network Services, affected Agency Director(s) and, dependent on the situation applicable subject matter experts.

The Governor will determine whether to issue emergency proclamations to suspend or waive any necessary orders, rules, and regulations as defined under the Emergency Management Act (RRS 81-829.37).

1. Continuity Personnel Status.

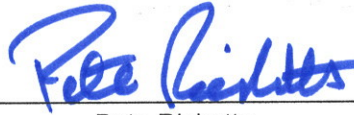
When continuity operations are activated, the Director of State Personnel will issue an appropriate plan of action for the status of impacted employees. The emergency situation will dictate the duration of the pay determinations and any further actions that may be required.

2. Rescissions.

This memorandum rescinds and replaces Continuity of Operations Policy Memorandum signed December 15, 2015.

3. Policy Point of Contact.

The point of contact for this policy is the State Continuity Manager, who can be reached at 402-471-3984 or by contacting the Department of Administrative Service's Director Office.



---

Pete Ricketts  
Governor

# NEBRASKA

Good Life. Great Future.

## DEPARTMENT OF MOTOR VEHICLES



Pete Ricketts, Governor

May 31, 2018

Byron L. Diamond, Director  
Nebraska Department of Administrative Services  
1526 K Street  
Lincoln, NE 68508

Dear Director Diamond:

This letter constitutes an agreement between Nebraska Department of Transportation, Kyle Schneweis, Director and Nebraska Department of Motor Vehicles, Rhonda K. Lahm, Director to establish the devolution from Department of Motor Vehicles to Department of Transportation in the event the Department of Motor Vehicles Continuity of Operations Plan requires the Department of Motor Vehicles to activate its devolution plan.


This agreement will begin on June 1, 2018. The scope of the agreement includes the following:

Nebraska Department of Motor Vehicles, Rhonda K. Lahm, Director

- Provide a general understanding of devolution and what it entails to the Department of Transportation.
- Provide the Department of Transportation with an understanding of the roles and responsibilities expected during a devolution event.
- Inform the Department of Transportation of the essential functions identified for the Department of Motor Vehicles to be performed in devolution of operations.
- In the event that Department of Motor Vehicles requires devolution, inform the Department of Transportation that devolution is needed.
- Offer training exercises to further establish the roles and responsibilities required to perform the essential functions of Department of Motor Vehicles.
- Invite the Department of Transportation to participate in future Continuity Table Top Exercises.
- Maintain up-to-date contact information for devolution planning.

Nebraska Department of Transportation, Kyle Schneweis, Director

- Understand the role of Department of Motor Vehicles within the State of Nebraska.
- Maintain up-to-date point of contact information.
- Understand the roles and responsibilities during a devolution event.
- Establish a plan to designate the appropriate resources to complete the essential functions in a devolution event.
- In the event that the devolution of Department of Motor Vehicles occurs perform the essential functions of Department of Motor Vehicles until reconstitution can occur.
- Participate in training exercises and/or table top exercise(s) to further improve the ability to perform Department of Motor Vehicles essential functions in a devolution event.

  
Rhonda K. Lahm  
Director, Department of Motor Vehicles

  
Date

  
Kyle Schneweis  
Director, Department of Transportation

  
Date

Rhonda K. Lahm, Director

**Department of Motor Vehicles**

P.O. Box 94789  
301 Centennial Mall South  
Lincoln, Nebraska 68509

OFFICE 402-471-3900  
FAX 402-471-3920

[dmv.nebraska.gov](http://dmv.nebraska.gov)



January 8, 2019

AmyLynn Creaney  
Continuity Project Manager  
Nebraska Department of Administrative Services  
1526 K Street; Suite 250  
Lincoln, NE 68508

Dear Ms. Creaney:

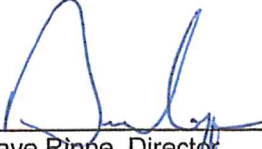
This letter constitutes an agreement between the State of Nebraska Department of Transportation ("NDOT"), Kyle Scheweis, Director, and the State of Nebraska Department of Economic Development ("DED"), Dave Rippe, Director, to establish the devolution from the Department of Economic Development to the Department of Transportation in the event that DED Continuity of Operations Plan requires the Department of Economic Development to activate its devolution plan. This agreement will begin on February 1, 2019. The scope of the agreement includes the following:

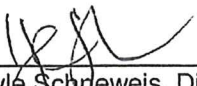
State of Nebraska Department of Economic Development ("DED")

- Provide a general understanding of devolution and what it entails to the Department of Transportation.
- Provide the Department of Transportation with an understanding of the roles and responsibilities expected during a devolution event.
- Inform the Department of Transportation of the essential functions identified for the Department of Economic Development to be performed in devolution of operations.
- In the event that the Department of Economic Development requires devolution, inform the Department of Transportation that devolution is needed.
- Offer training exercises to further establish the roles and responsibilities required to perform the essential functions of the Department of Economic Development.
- Invite the Department of Transportation to participate in future Continuity Table Top Exercises.
- Maintain up-to-date contact information for devolution planning.

State of Nebraska Department of Transportation ("NDOT")

- Understand the role of the Department of Economic Development within the State of Nebraska.
- Maintain up-to-date point of contact information.
- Understand the roles and responsibilities during a devolution event.
- Establish a plan to designate the appropriate resources to complete the essential functions in a devolution event.
- In the event that the devolution of the Department of Economic Development occurs perform the essential functions of DED until reconstitution can occur.
- Participate in training exercises and/or table top exercise(s) to further improve the ability to perform the Department of Economic Development essential functions in a devolution event.

  
\_\_\_\_\_  
Dave Rippe, Director                      9/18/19  
Nebraska Department of Economic Development                      Date

  
\_\_\_\_\_  
Kyle Scheweis, Director                      4/13/19  
Nebraska Department of Transportation                      Date

**STATE OF NEBRASKA DEPARTMENT OF ECONOMIC DEVELOPMENT  
MEMORANDUM OF UNDERSTANDING WITH THE  
STATE OF NEBRASKA DEPARTMENT OF TRANSPORTATION**

This Memorandum of Understanding (MOU) is entered into between the State of Nebraska Department of Economic Development ("DED") and the State of Nebraska Department of Transportation ("NDOT"). This MOU shall be effective as of the date of the last signature upon this document and shall remain in effect until revoked by mutual agreement of the Parties or when modified by a mutually written agreement signed by both Parties

**INTENT**

It is the intent of this MOU to establish an alternate location where the Department of Economic Development may resume mission-essential functions as outlined in its Continuity of Operations Plan. The Department of Economic Development Continuity of Operations Plan requires an alternate facility be identified to support the continued performance of DED's mission-essential functions when ordered by the Governor to activate continuity operations after an emergency or incident that disrupts DED's ability to carry out daily business operations at its primary facility.

The parties to this MOU agree to engage in open and meaningful collaboration and communication so as to reach an outcome that is mutually advantageous to both the Department of Economic Development and the Department of Transportation. To meet the intentions of this MOU, the parties understand that the order to activate continuity operations can come with or without advance warning and that continuity operations may last up to 30 days or longer. An agreement will be reached to allow DED access to the NDOT facility located at 5001 S 14<sup>th</sup> Street, Lincoln, Nebraska within two to four hours of the Governor's order to activate continuity operations and allow DED staff to use identified workspaces and communications and Information Technology systems and services necessary to support DED's mission-essential functions for the entire duration of the continuity event.

To carry out the intention of this MOU, the parties understand that the Department of Economic Development will notify the Department of Transportation of the order to activate continuity operations and will arrange for the arrival of DED staff at the NDOT facility specified above. NDOT will grant DED staff access to the facility and will allow DED staff priority of use for identified workspaces and shared use of communications and Information Technology systems and services for the purpose of performing DED essential functions for the duration of a continuity event.

The parties intend that the end-state goal is for the Department of Economic Development to establish a mutual agreement with the Department of Transportation to serve as an alternate facility for DED continuity operations.

## **ASSIGNMENT OF RESPONSIBILITY**

The parties agree to the following assignments of responsibility:

### **The Department of Economic Development shall have the following responsibilities:**

1. Assign a point-of-contact for DED Continuity Operations.
2. Provide NDOT with an understanding of the alternate facility support required for continuity operations (*i.e.*, number of DED staff, amount of workspace and configuration desired).
3. Provide NDOT with a description of the communications systems, Information Technology infrastructure, and network capacity required to support continuity operations.
4. Identify and request use of any NDOT equipment and resources required by DED to support continuity operations.
5. Identify and request use of any storage space required to house DED continuity equipment and resources.
6. Will return NDOT workspaces, equipment, and resources to a mutually acceptable condition after the conclusion of a continuity event.
7. Collaborate with NDOT to establish procedures for activating this agreement and gaining access to the alternate facility.
8. Will request access to NDOT's facility for scheduled continuity training, drills, and exercises and will invite NDOT to participate in continuity planning, training and exercises hosted by DED and the Department of Administrative Services Continuity Administration.

### **The Department of Transportation shall have the following responsibilities:**

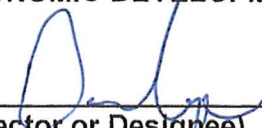
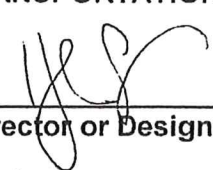
1. Identify an Alternate Facility Manager and maintain current contact information with DED for the duration of this agreement.
2. Identify workspaces, equipment, and resources to support DED staff for the duration of a continuity event.
3. Provide DED staff access to the facility and priority of use for identified workspaces; equipment, and resources for the duration of the continuity event.
4. Provide DED staff access to and use of communications and Information Technology systems and services required to support continuity operations for the duration of the event.
5. Notify DED of any changes to the facility and/or communications and Information Technology systems and services that affect the ability to support DED continuity operations.
6. Collaborate with DED to establish procedures for activating this agreement and granting staff access to the facility (*i.e.*, temporary ID cards, proximity access cards, parking passes, etc.) for the duration of the continuity activation.
7. Allow DED access to the facility and use of communications and Information Technology systems and services for scheduled continuity training, drills, and exercises for the duration of this agreement.

The Parties shall use their best efforts to accomplish their respective responsibilities in a timely and efficient manner. The failure of one Party to perform their responsibilities shall not relieve the other party of their responsibilities.

This MOU may be modified at any time with a mutual written agreement signed by both Parties.

**ACCEPTANCE PROVISIONS.**

The parties acknowledge they have read and understand this memorandum of understanding, they agree to its provisions, and that it will be effective on the date when both parties have signed.

<b>NEBRASKA DEPARTMENT OF ECONOMIC DEVELOPMENT</b>	<b>NEBRASKA DEPARTMENT OF TRANSPORTATION</b>
By:  (Director or Designee)	By:  (Director or Designee)
<u>Dave Zipp</u> (Typed or Printed Name/Title)	<u>Kyle Schneeweis, Director</u> (Typed or Printed Name/Title)
<u>4/18/19</u> (Date)	<u>4/12/17</u> (Date)

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U.S. Department  
of Transportation

**Federal Highway  
Administration**

**NEBRASKA DIVISION**

November 4, 2019

100 Centennial Mall North, Room 220  
Lincoln, NE, 68508

402-742-8460

Fax: 402-742-8480

Nebraska.FHWA@dot.gov

Mr. Moe Jamshidi  
Deputy Director - Operations  
Nebraska Department of Transportation  
Lincoln, NE

Dear Mr. Jamshidi:

Enclosed please find the Memorandum of Understanding (MOU) between the Federal Highway Administration (FHWA) and the Nebraska Department of Transportation (NDOT) regarding a contingency site for FHWA's continuance of operations if our office becomes unavailable. As we discussed, the enclosed MOU has been signed and dated by Joseph A. Werning, Division Administrator, FHWA-NE. If you could have Kyle Schneweis, Director, NDOT, peruse and sign the document and return it to us for our records, we would be deeply appreciative.

Please let me know if you have questions or comments on the MOU.

Sincerely yours,

Scott H. Stapp  
Environmental Protection Specialist

Enclosure

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**MEMORANDUM OF UNDERSTANDING  
BETWEEN  
Federal Highway Administration  
AND  
Nebraska Department of Transportation**

Whereas Federal Highway Administration (hereinafter "FHWA") desires a contingency site for continuance of operations if its present office becomes unavailable due to natural disaster, accident, or man-caused event; and

Whereas Nebraska Department of Transportation (hereinafter "NDOT") possesses office space that it is willing to make available to FHWA for continuance of operations purposes in the event FHWA's office becomes unavailable due to a natural disaster, accident, or man-caused event;

NOW THEREFORE, if a natural disaster, accident, or man-caused event renders FHWA's present office space unavailable for use, NDOT agrees to provide temporary office space, related facilities, and limited support to FHWA under the following conditions:

FHWA will make a request, orally or in writing, to the Nebraska Department of Transportation Director.

NDOT will provide immediate office space for nineteen (19) FHWA employees contingent upon availability of space, furniture, equipment and personnel.

NDOT will make such office space available to FHWA for up to thirty (30) days.

NDOT will provide parking space for twenty-one (21) vehicles during the time the office space is so used.

NDOT will provide the office space and related facilities without charge to FHWA except that FHWA will be responsible to cover any direct additional costs incurred because of its occupancy of the office space, such as additional telephone lines, telephone charges, keys/badges, supplies, support and all costs incurred by NDOT to set up and maintain said office space, furniture and equipment.

FHWA will compensate NDOT upon request for all incurred costs as outlined above.

NDOT will coordinate with service providers in conjunction with FHWA to establish nineteen (19) network connections for computers and/or voice communications.

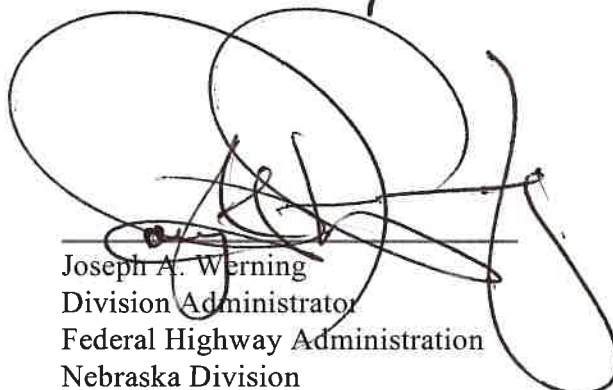
FHWA's staff and computer technicians will communicate with NDOT IT staff concerning information and technology (IT) request or needs.

This Memorandum of Understanding shall become effective upon the signatures of both parties. It shall remain in effect until terminated by either party. Either party may terminate the Memorandum of Understanding at any time by giving thirty (30) days written notice to the other party.

Dated: \_\_\_\_\_

Dated: 11-04-2019

\_\_\_\_\_  
Kyle Schneweis  
Director  
Nebraska Department of Transportation

\_\_\_\_\_  
  
Joseph A. Werning  
Division Administrator  
Federal Highway Administration  
Nebraska Division

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex A: Aeronautics Division

July 2021

**WARNING:** This document contains information FOR OFFICIAL USE ONLY and must be protected. This document includes information pertaining to the deployment, mobilization, and tactical operations of State of Nebraska government in response to emergencies and is exempt from public disclosure under the provisions of NEB. REV. STAT. § 84-712.05(h).

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# NDOT CONTINUITY OF OPERATIONS PLAN

## Annex A: Aeronautics Division

APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)

APPENDIX 2: EMERGENCY RELOCATION GROUP

APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY

APPENDIX 4: ALTERNATE FACILITY

APPENDIX 5: ESSENTIAL RECORDS and DATA

APPENDIX 6: EQUIPMENT and RESOURCES

APPENDIX 7: COMMUNICATIONS CAPABILITIES

APPENDIX 8: CONTACT ROSTER

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

1-1 Mission-Essential Function Objective

It is imperative to establish priorities before an emergency to ensure that the COOP Emergency Relocation Group (ERG) for each division can complete mission-essential functions that are critical to the overall operation of the Division and that support emergency response efforts within the State of Nebraska and NDOT.

1-2 Mission-Essential Function Priority

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	AERONAUTICS DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <u>One Day</u> disruption. (From highest priority to lowest.) <sup>a</sup>
	Manage/coordinate Division activities and prioritize/allocate Division resources.
	Process end of month, or end of fiscal year FAA AIP grant payments; manage grant payment financials; process payroll; monitor payables and receivables
	Verify all AWOS sites are reporting accurately; if not, coordinate necessary shutdowns with MOCC and NEMC. Record NOTAM data.
	Monitor requests for flight services.
	Respond to statutory/regulatory due dates for report filing and monitor any pending legal issues.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <u>One Week</u> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Manage loans and deposits
	Complete off-site Navigational Aids maintenance and inspections as needed or as required as per FAA specifications. Verify all test equipment is operational and accurate. Compile NOTAM information in a report for use by the technicians. Monitor information with FAA, FCC, and local airports on projects in process.
	Coordinate Aviation Art Contest.
	Prepare engineering estimates, construction reports, change order processing, grant processing, plan reviews, specification reviews, licensing inspections, tall structure permits, and respond to zoning issues.
	Compile, complete, and submit time and expense sheets.

3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <u>One Month</u> . (From highest priority to lowest.) <sup>C</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Manage the procurement process, balance the division financial books, perform required reporting.
	Compile Navigational Aids parts used report and submit to Aeronautics accounting. Inventory supply of parts and order as necessary.
	Schedule necessary vehicle maintenance and compile and submit Vehicle Mileage Logs to Aeronautics accounting; compile/record performance measures; renew eligible FCC licenses; review, approve, and submit FAA 6030 logs,
	Verify all required Navigational aids maintenance is complete and prepare Scheduled Maintenance Guide Sheets for the next month
	Update aircraft navigation equipment; perform bi-weekly update of hard copy flight charts; monitor time-sensitive mandatory aircraft maintenance inspections/
	Manage joint sealing and marking projects.
	Manage Disadvantaged Business Entity Reporting
	Prepare and submit Aircraft Usage Report
	Compile information for the monthly Dashboard and submit to NDOT

Table 2- Mission Essential Functions

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Aeronautics Division	<b>Manage/coordinate Division activities and prioritize/allocate</b>	Division Director Division Deputy Director/Legal Counsel	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	<b>Process end of month or end of fiscal year FAA AIP grant payments; manage grant payment financials; process</b>	Accountant II (1)HR Accountant I (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Grant paperwork – hard copies in engineering division Employee timesheets – hard copies
Aeronautics Division	<b>Monitor requests for flight services</b>	Division Manager, Flight Services (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	<b>Respond to statutory/regulatory due dates for report filing and monitor pending legal issues.</b>	Division Deputy Director (1)	Phones, cell phones, email, fax, Computers/Laptops, printers State owned airfield tenant files (hard copies)

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Aeronautics Division	Verify all AWOS sites are reporting accurately; if not, coordinate necessary shutdowns with MOCC and NEMC. Record NOTAM data.	Division Manager, Navigational Aids (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
<b>One-Week Mission-Essential Functions</b>			
Aeronautics Division	Manage loans and deposits	Division Manager, Accounting & Support (1) Accountant I (2)	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	Complete off-site Navigational Aids maintenance and inspections as needed or as requires per FAA specifications. Verify all test equipment is operational and accurate. Compile NOTAM information in a report for use by technicians. Monitor information with FAA, FCC, and local airports on projects in process.	Division Manager, Navigational Aids (1) Electronics Specialist/ Sr. Aviation Aids (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Vehicles to travel off-site and tools/equipment to effect work.
Aeronautics Division	Prepare engineering estimates, construction reports, change order processing, grant processing, plan reviews, specification reviews, licensing inspections, tall structure permits, and respond to zoning issues.	Division Manager, Project Management (1) Division Manager, Planning and Programming (1) Engineer I (1) Highway Local Liaison	Phones, cell phones, email, fax, Computers/Laptops, printers Hard copies of airport plans/specifications.
Aeronautics Division	<b>Coordinate Aviation Art Contest</b>	Division Manager, Flight Services (1)	Phones, cell phones, email, fax, Computers/Laptops, printers The original art submittals (hard copy)
Aeronautics Division	Complete, compile and submit time and expense sheets for payroll processing	All 19 division employees	Phones, cell phones, email, fax, Computers/Laptops, printers Hard copies of time sheets.
<b>One-Month Mission-Essential Functions</b>			

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Aeronautics Division	Manage the procurement process, balance division financial books, perform required	Division Manager, Accounting & Support (1) Division Deputy Director & Legal Counsel (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	.Compile navigational aids parts used report and submit to Aeronautics accounting. Inventory supply of parts and order	Division Manager, Navigational Aids (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Parts to inventory currently in Kearney office warehouse.
Aeronautics Division	Verify all required Navigational Aids maintenance is complete and prepare Scheduled Maintenance Guide Sheets for next month.	Division Manager, Navigational Aids (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	Schedule necessary vehicle maintenance and compile and submit Vehicle Mileage Logs to Aeronautics accounting; compile/record performance measures; renew eligible FCC licenses; review, approve, and submit	Division Manager, Navigational Aids (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Hard copies of logs.
Aeronautics Division	Compile information for the monthly submittal of Aeronautics portion of the Dashboard.	Division Director (1) Division Deputy Director & Legal Counsel (1) Division Manager, Accounting & Support (1) Accountant I (2) Division Manager, Navigational Aids (1) Division Manager, Flight Services (1) Division Manager, Project Management (1) Highway Local Liaison Tech II (1), Highway Local Liaison Tech I (1)	Phones, cell phones, email, fax, Computers/Laptops, printers

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Aeronautics Division	Update aircraft navigational equipment; perform bi-weekly update of hard copy flight charts; monitor time-sensitive mandatory aircraft maintenance inspections.	Division Manager, Flight Services (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  The aircraft itself; hard copies of flight charts.
Aeronautics Division	Manage joint sealing and marking projects.	Division Manager, Project Management (1) Highway Maintenance Worker/Sr. (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Hard copies of contracts. Vehicles and equipment necessary to perform the maintenance function.
Aeronautics Division	Manage Disadvantaged Business Entity reporting.	Division Manager, Project Management (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
Aeronautics Division	Prepare and Submit Aircraft Usage Report to NE Legislature.	Division Manager, Flight Services (1) Division Deputy Director & Legal Counsel (1)	Phones, cell phones, email, fax, Computers/Laptops, printers

1-3 Mission-Essential Function Procedures

The Division Director and the ERG shall ensure that mission-essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission-essential must be deferred until additional personnel and resources become available.

1-4 Mission-Essential Function Partners and Interdependencies

- A. NDOT Internal Partners
- B. Federal Partners
- C. State of Nebraska Partners
- D. External Partners
- E. Vendors

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## APPENDIX 2: EMERGENCY RELOCATION GROUP

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Aeronautics Division operations provided through the Nebraska Department of Transportation (NDOT).

### 2-1 Emergency Relocation Group Responsibilities

Prior to a continuity activation Aeronautics Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Aeronautics Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### 2-2 Notification Procedures

Activation of Aeronautics Division functions will be directed by the Aeronautics Division Director after the NDOT Director makes the determination to activate continuity operations. Director will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### ERG Chief Responsibilities

When ordered to activate, the NDOT Aeronautics Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### 2-3 Emergency Relocation Group Members

The *NDOT Aeronautics Division ERG Team* is derived from the following job titles and functions:

#### A. Leadership Titles

- Division Director
- Deputy Director & Legal Counsel
- Division Managers (4)

**B. Staff Titles**

- Administrative Assistant I
- Electronics Specialist/Sr. Navigational Aid (2)
- Accountant I (2)
- Airfield Manager (2)
- Local Highway Liaison Tech I
- Local Highway Liaison Tech II
- Engineer I
- Aviation Specialist Sr. (Chief Pilot)
- Highway Maintenance Worker/Sr.

*NDOT Annex A-Appendix 2 Table 1: Aeronautics Division ERG Team*

Name/Title	ERG Position	MEF Role/Responsibility
<b>Ann Richart</b> <i>Aeronautics Division Head</i>	<b>ERG Chief</b>	<b>Implement Federal and Nebraska statutes, rules, regulations, and policies regarding NDOT – Division of Aeronautics.</b>
<b>Andre B. Aman</b> <i>Deputy Director &amp; Legal Counsel</i>	<b>ERG Member</b>	<b>Assists Division Director in operating the Division. Responsible for legal and fiscal policies and procedures.</b>
<b>Robin Edwards</b> <i>Division Manager Accounting</i>	<b>ERG Member</b>	<b>Processes Division payroll, purchasing, bill paying, budgeting, and day-to-day financial issues.</b>
<b>David Morris</b> <i>Division Manager Aviation Services</i>	<b>ERG Member</b>	<b>Operates the flying operation of the Division and pilots state and rental/leased aircraft.</b>
<b>Russ Gasper</b> <i>Division Manager Project Management</i>	<b>ERG Member</b>	<b>Manages federal Airport Improvement Program (AIP) projects for General Aviation Airports throughout Nebraska, as well as the state’s airport inspection program, airport zoning, DBE Certification.</b>
<b>Anna Lannin</b> <i>Division Manager Planning</i>	<b>ERG Member</b>	<b>Coordinates with the Federal Aviation Administration and Nebraska airports to plan and program the federal AIP grant program for General Aviation airports in Nebraska.</b>

<p><b>Marcy Meyer</b> <i>Division Manager Navigational Aids</i></p>	<p><b>ERG Member</b></p>	<p><b>Manage the Division's navigational aids office in Kearney, including scheduling and overseeing the work of the electronics technicians, compliance with federal laws rules and procedures regarding navigational aids.</b></p>
<p><b>Roger Fox</b> <i>Electronics Specialist/Sr. Navigational Aids (Kearney Office)</i></p>	<p><b>ERG Member</b></p>	
<p><b>Mike Luff</b> <i>Electronics Specialist/Sr. Navigational Aids (Kearney Office)</i></p>	<p><b>ERG Member</b></p>	
<p><b>Jan Keller</b> <i>Administrative Assistant I</i></p>	<p><b>CST Member</b></p>	
<p><b>Dave Lehnert</b> <i>Local Highway Liaison Tech II</i></p>	<p><b>CST Member</b></p>	
<p><b>Kandi Bremmer</b> <i>Local Highway Liaison Tech I</i></p>	<p><b>CST Member</b></p>	
<p><b>Bryan DeHerder</b> <i>Engineer I</i></p>	<p><b>CST Member</b></p>	
<p><b>David Moll</b> <i>Aviation Specialist Sr. (Chief Pilot)</i></p>	<p><b>CST Member</b></p>	
<p><b>Barb Atkins</b> <i>Accountant I</i></p>	<p><b>CST Member</b></p>	

NDOT

<b>Deb Hernandez</b> <i>Accountant I</i>	<b>CST Member</b>	
<b>Dave Senff</b> <i>Highway Maintenance Worker/Sr. (Harvard State Airfield)</i>	<b>CST Member</b>	
<b>Tim Krienert</b> <i>Airfield Manager (Fairmont State Airfield)</i>	<b>CST Member</b>	
<b>Skylar Steffes</b> <i>Airfield Manager (Scribner State Airfield)</i>	<b>CST Member</b>	

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

3-1 Leadership Succession for Aeronautics Division

*NDOT Annex A-Appendix 3 Table 1: Orders of Succession*

<b>Aeronautics Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	<b>Division Head</b>	<b>Ann Richart</b>
<b>1st Order</b>	<b>Division Deputy Head</b>	<b>Andre B. Aman</b>
<b>2nd Order</b>	<b>Division Manager Navigational Aids</b>	<b>Marcy Meyer</b>
<b>3rd Order</b>	<b>Division Manager Project Management</b>	<b>Russ Gasper</b>

3-2 Delegation of Authority for NDOT

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (2) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### 4-1 Primary Facility

Lincoln Airport  
3431 Aviation Road Suite 150  
Lincoln, NE 68524

and

Kearney Municipal Airport  
5065 Airport Road  
Kearney, NE 68847

### 4-2 Location of Alternate Facilities

NDOT Aeronautics Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT Leadership will identified an alternate location, if needed based on the severity of the disaster and the location.

### 4-3 Alternate Facility Site Support Requirements

To adequately support Aeronautics Division the alternate facility must provide at minimum:

- ADA Compliance
- Sufficient power/water and communications infrastructure

### 4-4 Alternate Facility Site Support Procedures

An Alternate facility location will be determined based on the location and severity of the disaster.

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**APPENDIX 5: ESSENTIAL RECORDS and DATA**

5-1 Essential Records Identified for Aeronautics Division

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- State Statutes-Chapter 3
- Aeronautics policies and procedures
- Aeronautics Regulations
- FAA and Airports contact lists

## 5-2 Essential Data Identified for Aeronautics Division

### 5-3 Access to Essential Records and Data During a Continuity Activation

NDOT Aeronautics Division Director will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### 5-4 Essential Record Management Plan

NDOT Aeronautics Division Director will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

**APPENDIX 6: EQUIPMENT and RESOURCES**

6-1 Financial Resources and Budgeting

NDOT Aeronautics Division Director will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

6-2 Equipment and Resources Identified to Support Continuity Operations

- 4 Notepads
- 8 Pens
- 2 boxes of folders
- Package of Post it-Notes
- Box of envelopes
- 3 reams of paper
- Box of letterhead

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

6-3 Drive-Away Kits Supporting Aeronautics Division

This section contains a checklist of resources that should be included in a Drive-Away Kit. A drive-away kit contains vital records and databases, equipment, and basic office supplies that are not pre-positioned at the alternate facility or available otherwise. Drive-away kit contents are portable, that is, the contents should fit easily in a car. The drive-away kit should be stored in a location that where it can easily accessed, e.g., a cabinet/closet near the door. Supplies should be refreshed annually.

6-4 Equipment Cache(s) Supporting Aeronautics Division

<b>Table 1. Drive-Away Kit Contents and Checklist</b>		
<b>EQUIPMENT</b>		
1.	Laptop Computer	
<b>COMMUNICATIONS EQUIPMENT</b>		
1.	Cell phones	
<b>VITAL RECORDS and DATABASES</b>		
1.	State Statutes – Chapter 3	
2.	Aeronautics policies and procedures	
3.	Aeronautics Regulations	
4.	COOP Plan – Aeronautics Appendix 8	
5.	FAA and Airports contact lists	
<b>BASIC OFFICE SUPPLIES</b>		
	<b>Quantities</b>	
1.	Notepads	4
2.	Pens	8
1.	Folders	2 Boxes
2.	Post-it-Notes	Package
3.	Envelopes	Box
4.	Paper	3 Reams
5.	Letterhead	1 Box

## APPENDIX 7: COMMUNICATIONS CAPABILITIES

### 7-1 Communications Capabilities Requirements

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex A-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### 7-2 Communications Capabilities & Equipment Inventory List Guidance

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT Aeronautics Division will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Ann Richart	Aeronautics Division Head	402-471-7922	402-212-9521	402-292-4199	<a href="mailto:Ronnie.mitchell@nebraska.gov">Ronnie.mitchell@nebraska.gov</a>
Andre B Aman	Deputy Div Head/ Legal Counsel	402-471-7938	402-770-2434	n/a	<a href="mailto:Andre.aman@nebraska.gov">Andre.aman@nebraska.gov</a>
Robin Edwards	Accountant II	402-471-7929	402-742-4399	n/a	<a href="mailto:Robin.edwards@nebraska.gov">Robin.edwards@nebraska.gov</a>
David Morris	Division Manager, Flight Operations	402-471-7932	402-239-0170	402-223-3822	<a href="mailto:David.morris@nebraska.gov">David.morris@nebraska.gov</a>
Russ Gasper	Division Manager, Project Management - Engineering	402-471-7700	402-416-6177	n/a	<a href="mailto:Russ.gasper@nebraska.gov">Russ.gasper@nebraska.gov</a>
Anna Lannin	Division Manager, Planning & Programming - Engineering	402-471-7931	402-450-3162	402-489-9752	<a href="mailto:Anna.lannin@nebraska.gov">Anna.lannin@nebraska.gov</a>
Marcy Meyer	Division Manager – Navigational Aids	308-865-5696	308-627-6430	308-237-3487	<a href="mailto:Marcy.meyer@nebraska.gov">Marcy.meyer@nebraska.gov</a>
Roger Fox	Electronics Specialist/Sr. Navigational Aids (Kearney Office)	308-865-5696	308-440-5234	308-236-8871	

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Continuity of Operations Plan

Annex A: Aeronautics Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Mike Luff	Electronics Specialist/Sr. Navigational Aids (Kearney Office)	308-865-5696	312-848-2291	308-236-8004	
Jan Keller	Administrative Assistant I	402-471-2371	402-525-9392	402-643-3101	
Dave Lehnert	Local Highway Liaison Tech II	402-471-7928	402-217-1232	n/a	
Kandi Bremmer	Local Highway Liaison Tech I	402-471-7925	402-613-2721	n/a	
Bryan DeHerder	Engineer I	402-471-7930	651-280-0570	n/a	
David Moll	Aviation Specialist Sr. (Chief Pilot)	402-471-7951	402-613-5422	n/a	
Barb Atkins	Accountant I	402-471-7920	402-318-8975	402-483-1610	
Deb Hernandez	Accountant I	402-471-7927	402-261-5528	n/a	
Dave Senff	Highway Maintenance Worker/Sr. (Harvard State Airfield)	402-772-3291	402-694-9384	402-725-3120	
Tim Krienert	Airfield Manager (Fairmont State Airfield)	402-268-4521	402-266-1890	402-268-4521	

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Annex A: Aeronautics Division

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Continuity of Operations Plan

Annex A: Aeronautics Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Skylar Steffes	Airfield Manager (Scribner State Airfield)	402+654-2200	402-277-0906	n/a	

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Annex A: Aeronautics Division

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex B: Bridge Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex B: Bridge Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

This Appendix lists the mission-essential functions and resources needed for the NDOT Bridge Division. Table 1 illustrates the mission-essential functions that need to occur during the first day, within a week, and within a month of a disruption requiring a COOP activation. Table 2 illustrates the organizational unit, the personnel and the resources needed to carry out each mission-essential function.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	BRIDGE DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.)
	Provide centralized Bridge support services to District Forces, Consultants, the Construction Division and the Office of the Director
	Prioritize and allocate resources as required
	Manage the State’s Bridge Design Services and Bridge Inspection Activities
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Review changes to policies and make adjustments as necessary
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Bridge Division	Implementation of the Emergency Management Plan	Bridge Division Head (1)	Phones, cell phones, email, Computers/Laptops, printers, Internet, NDOT COOP
Bridge Division	Provide Division support for overall NDOT operations.	Bridge Division Head (1) Assistant State Bridge Engineers (4)	Phones, cell phones, email, fax, Computers/Laptops, printers, Internet, NDOT COOP
Bridge Division	Plan preparation, consultant management	Assistant State Bridge Engineers (4)	Phones, cell phones, email, fax, Computers/Laptops, printers Internet AASHTO Design Code Clarity, OnBase, Microstation Outlook, Projectwise
Bridge Division	Manage the State's NBIS program. Bridge Inspection, Bridge Load Rating	Assistant State Bridge Engineer (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Internet, Clarity, OnBase Outlook, Projectwise BrM, BrR
ORGANIZATIONAL UNIT	MISSION ESSENTIAL	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE

Bridge Division	Manage the State's Bridge Inventory, Scope Bridge Projects	Assistant State Bridge Engineers (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Internet Clarity, OnBase Outlook, ArcGIS Pro
Bridge Division	Provide Support for all functions listed above.	Administrative Asst (1) Data Tech. (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
<b>One-Week Mission-Essential Functions</b>			
Bridge Division	All One-Day Mission Essential Functions	ERG COOP Team Members (11)	Phones, cell phones, email, fax, Computers/Laptops, printers All peripheral items listed in the Listed in the One-Day Mission Essential Functions

*See NDOT Continuity of Operations BASE Plan for the complete list of prioritized mission-essential functions.*

**1-3 Mission-Essential Function Procedures**

The Bridge Division Mission-Essential Function Procedures are located in the Bridge Office Policies and Procedures (BOPP) manual, available at <https://dot.nebraska.gov/business-center/bridge/> .

**1-4 Mission-Essential Function Partners and Interdependencies**

- A. NDOT Internal Partners
- B. Federal Partners
- C. State of Nebraska Partners
- D. External Partners
- E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Bridge Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Bridge Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Bridge Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Bridge Division functions will be directed by the State Bridge Engineer after the NDOT Director makes the determination to activate continuity operations. State Bridge Engineer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Bridge Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Bridge Division ERG Team** is derived from the following job titles and functions:

#### Leadership Titles

- Bridge Division Head (1)
- COOP POC (1)
- Asst Division Engineers (7)
- Administrative Assistant (1)

#### Staff Titles

- See NDOT Annex B-Appendix 2 Table 1 Bridge Division ERG Team

**NDOT Annex B-Appendix 2 Table 1 Bridge Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Ross Barron <i>NDOT State Bridge Engineer</i>	ERG Chief	Authority. Review and approve Bridge Continuity Annex. Begin notification cascade. Oversee and approve all Bridge Division mission essential functions
Kyle Zillig <i>NDOT Assistant State Bridge Engineer-Design</i>	ERG Member	Contact Section Leaders, continue notification cascade. All mission essential bridge design functions
Kirk Harvey <i>NDOT Assistant State Bridge Engineer-Hydraulics</i>	ERG Member	Contact Section Leaders, continue notification cascade. All mission essential bridge hydraulic design functions
Babrak Niazi <i>NDOT- Assistant State Bridge Engineer-In Service Bridges</i>	ERG Member	Contact Section Leaders, continue notification cascade. All mission essential bridge NBIS program management
Mike Vigil <i>NDOT-Assistant State Bridge Engineer-Bridge Management</i>	ERG Member	Continue notification cascade. All mission essential bridge management functions
Wayne Patras <i>NDOT Assistant State Bridge Engineer-Design and Special Projects</i>	ERG Member	Contact Section Leaders, continue notification cascade. All mission essential bridge design functions
Fouad Jaber <i>NDOT Assistant State Bridge Engineer-Research</i>	ERG Member	All mission essential bridge research functions
Kent Miller <i>NDOT-Assistant State Bridge Engineer-Bridge Inventory and Data</i>	ERG Member	Continue notification cascade. All mission essential bridge inventory and data functions



NDOT

Continuity of Operations Plan

Annex B: Bridge Division]

Lori Larson <i>NDOT-Bridge Division Administrative Technician</i>	ERG Member	All mission essential bridge administrative functions

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**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Bridge Division**

*NDOT Annex B-Appendix 3 Table 1 Orders of Succession*

<b>Bridge Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	State Bridge Engineer	Ross Barron
<b>1st Order</b>	Assistant State Bridge Engineer-Design	Kyle Zillig
<b>2nd Order</b>	Assistant State Bridge Engineer-Hydraulics	Kirk Harvey
<b>3rd Order</b>	Assistant State Bridge Engineer-In Service Bridges	Babrak Niazi

**3-2 Delegation of Authority for NDOT**

The signed NDOT Delegation of Authority acknowledgement letter is maintained in Enclosure (2) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

Bridge Division  
1500 Highway 2  
Lincoln, NE 68502

### **4-2 Location of Alternate Facilities**

NDOT Bridge Division ERG Chief will direct essential staff where and when to report once activated for continuity operations. NDOT Bridge Division has identified the employee's home or other remote location that satisfies the need to serve as an alternate facility for continuity operations when the primary facility is unavailable.

### **4-3**

#### **Alternate Facility Site Support Requirements**

To adequately support Bridge Division the alternate facility must provide at minimum:

- Sufficient power/water and communications infrastructure
- Accessible Wifi and State of Nebraska network connectivity.
- ADA Compliance

### **4-4 Alternate Facility Site Support Procedures**

The Bridge Division employees have been working remotely for several months in 2020 and the work space needs have been established in the event of emergency relocation.

Further guidance regarding Alternate Facility Site options to be received from the State's Crisis Action Team (CAT) as defined in the Continuity of Operations BASE Plan.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Bridge Division**

- Emergency Contact Roster
- State Statutes
- Letters of Authority
- NDOT Policies & Procedures
- State Directory
- NDOT Continuity of Operations BASE Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Bridge Division**

- AASHTO Code
- BOPP Manual
- BrM
- OnBase
- Clarity
- ProjectWise
- Enterprise GIS

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT State Bridge Engineer will work with the NDOT BTSD and OCIO representatives to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT State Bridge Engineer will work with the NDOT Leadership Team to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT State Bridge Engineer will work with the NDOT Leadership Team to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- Laptop Computers
- WIFI Hotspots
- Various size monitors
- Cell Phones
- Internet service
- VPN Service
- Access to the OCIO Servers
- Notepads
- Pens
- Folders
- Post-it Notes
- Envelops
- Copier Paper
- Letterhead
- Staplers
- Staples

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Bridge Division**

Bridge Division will not be using a Drive-Away Kit.

### **6-4 Equipment Cache(s) Supporting Bridge Division**

Each individual either has or will be issued the equipment necessary for the operations to continue in a remote location.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex B-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annex communication capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

The Recovery Time Objective (RTO) for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

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Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT Bridge Division Head will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster (ERG Team Members shown as Bold. All others are CST Members)**

<u>NAME</u>	<u>Squad</u>	<u>BUSINESS PHONE</u>	<u>CELL PHONE</u>	<u>EMAIL</u>
<b>BARRON, Ross</b>	Bridge Engineer	402-479-4701	402-690-3900	ross.barron@nebraska.gov
<b>LARSON, Lori</b>	Administrative	402-479-4701	402-440-1250	lori.larson@nebraska.gov
HAECKER, Pat	Bridge Dgn & Spcl Proj	402-479-3806	402-417-9452	pat.haecker@nebraska.gov
HUESKE, Janice	Bridge Dgn & Spcl Proj	402-479-3781	402-310-2269	janice.hueske@nebraska.gov
<b>PATRAS, Wayne</b>	Bridge Dgn & Spcl Proj	402-479-4360	402-670-7387	wayne.patras@nebraska.gov
PTACEK, Ben	Bridge Dgn & Spcl Proj	402-479-4393	402-450-5034	ben.ptacek@nebraska.gov
SCHULZE, Matt	Bridge Dgn & Spcl Proj	402-479-3681	402-992-1247	matt.schulze@nebraska.gov
CHAPMAN, Cody	Bridge DesignA	402-479-3694		cody.chapman@nebraska.gov
<b>ZILLIG, Kyle</b>	Bridge DesignA	402-479-3958	402-403-8955	kyle.zillig@nebraska.gov
BORGMANN, Mark	Bridge DesignA	402-479-4763	402-416-4299	mark.borgmann@nebraska.gov
FERGUSON, Steve	Bridge DesignA	402-479-3970	402-450-9977	steve.ferguson@nebraska.gov
HERNANDEZ, Jorge	Bridge DesignA	402-479-3723	402-942-3270	jorge.hernandez@nebraska.gov
ISMAIL, Thiyaa	Bridge DesignA	402-479-4892		thiyaa.ismail@nebraska.gov
WIESELER, Matt	Bridge DesignA	402-479-3682		matthew.wieseler@nebraska.gov
POSPISIL, Randy	Bridge DesignA	402-479-3908		randy.pospisil@nebraska.gov
ROGERS, Megan	Bridge DesignA	402-479-3545	402-570-9857	megan.rodgers@nebraska.gov
SABRA, Steve	Bridge DesignA	402-479-3763		steve.sabra@nebraska.gov
SULTANI, Khalil	Bridge DesignA	402-479-3682		khalil.sultani@nebraska.gov
VANDERVEEN, Lynden	Bridge DesignA	402-479-3971	402-314-8056	lynden.vanderveen@nebraska.gov
PITTS, Noah	Bridge DesignB	402-479-3968	402-430-0982	noah.pitts@nebraska.gov
BLESSEN, Jake	Bridge DesignB	402-479-4347	402-250-7099	jake.blessen@nebraska.gov
CLARK, Zoia	Bridge DesignB	402-479-3804		zoia.clark@nebraska.gov
FISCHER, Scott	Bridge DesignB	402-479-4652		scott.fischer@nebraska.gov
GHALEB, Sam	Bridge DesignB	402-479-4801		<a href="mailto:sam.ghaleb@nebraska.gov">sam.ghaleb@nebraska.gov</a>

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Continuity of Operations Plan

Annex B: Bridge Division

HOUFEK, Preston	Bridge DesignB	402-479-3541		preston.houfek@nebraska.gov
NOCITA, Terry	Bridge DesignB	402-479-3561	402-677-7175	terry.nocita@nebraska.gov
HANDELAND, Jeff	Bridge Inv & Data	402-479-3973	402-417-9212	jeff.handeland@nebraska.gov
<b>MILLER, Kent</b>	Bridge Inv & Data	402-479-4705	402-570-9238	kent.miller@nebraska.gov
SIDIQI, Abdul	Bridge Management	402-479-4389	402-201-8330	abdul.sidiqi@nebraska.gov
<b>VIGIL, Mike</b>	Bridge Management	402-479-3769	402-740-1967	mike.vigil@nebraska.gov
CHRIST, Greg	Hydro & Hydraulics	402-479-4318	402-421-7938	greg.christ@nebraska.gov
EAMES, Matt	Hydro & Hydraulics	402-479-4395	402-309-9765	matt.eames@nebraska.gov
<b>HARVEY, Kirk</b>	Hydro & Hydraulics	402-479-3755	402-875-3750	kirk.harvey@nebraska.gov
ORRELL, John	Hydro & Hydraulics	402-479-3649		john.orrell@nebraska.gov
RUTHERFORD, Walter	Hydro & Hydraulics	402-479-3722	402-470-1804	walter.rutherford@nebraska.gov
URKOSKI, Christ	Hydro & Hydraulics	402-479-4557		chris.urkoski@nebraska.gov
ALWASHAHI, Khalid	In Service Bridges	402-479-4888		khalid.alwashahi@nebraska.gov
BIRD, Eric	In Service Bridges	402-479-3863	402-418-2101	eric.bird@nebraska.gov
BRASHEARS, Seth	In Service Bridges	402-479-3747	308-367-6777	seth.brashears@nebraska.gov
ERDMAN, Shannon	In Service Bridges	402-479-3919		shannon.erdman@nebraska.gov
HOLLEY, PAT	In Service Bridges	402-479-3919	402-432-6303	pat.holley@nebraska.gov
LAKMON, Kpandji	In Service Bridges	402-479-4506	402-706-2271	lakmon.kpandji@nebraska.gov
MOSIMAN, Mike	In Service Bridges	402-479-3919	402-432-6314	mike.mosiman@nebraska.gov
<b>NIAZI, Babrak</b>	In Service Bridges	402-479-3646	402-318-6287	babrak.niazi@nebraska.gov
PAGE, Dave	In Service Bridges	402-479-3921	402-421-9405	dave.page@nebraska.gov
PEARS, Dallas	In Service Bridges	402-479-3919		dallas.pears@nebraska.gov
WROBLEWSKI, Rod	In Service Bridges	402-479-3919	402-742-4629	rod.wroblewski@nebraska.gov
JABER, Fouad	Resrch & MO River Bri	402-479-3967	402-840-7729	fouad.jaber@nebraska.gov

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex C: Business Technology Support Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex C: Business Technology Support Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

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**APPENDIX 4: ALTERNATE FACILITY**

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**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

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## APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)

### 1-1 Mission-Essential Function Objective

The objective for each mission-essential function included in this functional annex is to accomplish the priority tasks as soon as possible to return to normal operations.

### 1-2 Mission-Essential Function Priority

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	BUSINESS TECHNOLOGY SUPPORT DIVISION MISSION-ESSENTIAL
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Provide centralized support services for NDOT
	Provide access to network and internet working with the Office of the CIO
	Provide access to application and database servers working with the Office of the CIO
	Purchase and configure hardware for employees
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	Continued centralized support services for NDOT
	Continued purchase and configuration of hardware for employees
	Provide application development support for existing applications
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	Continued centralized support services for NDOT
	Continued purchase and configuration of hardware for employees
	Provide application development support for existing applications and new

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Business Technology Support Division	Provide centralized support services for NDOT	Division Head Technical Services Officer Help Desk Supervisor Proj. Mgmt. Officer Engineering Officer	Phone, cell phone, computer, email, printer Calling Tree – BTSD and NDOT State Directory NDOT Policies and Procedures

Business Technology Support Division	Provide access to network and internet working with the Office of the CIO	Technical Services Officer Project Management Officer	Phone, cell phone, computer, email, printer Calling Tree – BTSD and NDOT  State Directory  NDOT Policies and Procedures
Business Technology Support Division	Provide access to application and database servers working with the Office of the CIO	Project Management Officer Engineering Officer	Phone, cell phone, computer, email, printer  Calling Tree – BTSD and NDOT  State Directory NDOT Policies and Procedures
Business Technology Support Division	Purchase and configure hardware for employees	Division Head Technical Services Officer Administrative Asst. I	Phone, cell phone, computer, email, printer  State Directory NDOT Policies and Procedures DAS Purchasing Policies and Procedures Access to required Software

<b>ORGANIZATIONAL UNIT</b>	<b>MISSION ESSENTIAL FUNCTION</b>	<b>POSITION/TITLE &amp; (NUMBER OF EACH POSITION)</b>	<b>RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE</b>
<b>One-Week Mission-Essential Functions</b>			
Business Technology Support Division	Continued centralized support services for NDOT	Help Desk Team (3) IT Supervisor (1)	Phone, cell phone, computer, email, printer Calling Tree – BTSD and NDOT  State Directory NDOT Policies and Procedures Access to servers for applications and data



Business Technology Support Division	Continued purchase and configuration of hardware for employees	Tech. Services Officer IT Supervisor (1) IT Bus. Sys. Analyst or Analyst Sr. (4)	Phone, cell phone, computer, email, printer State Directory NDOT Policies and Procedures DAS Purchasing Policies and Procedures Access to required Software
Business Technology Support Division	Provide application development support for existing applications	Proj. Mgmt. Officer Engineering Officer IT Supervisors (4) IT Bus. Sys. Analyst Supervisor IT Appl. Dev. Sr. and Lead (14) IT Bus. Sys. Analyst Coordinator (3) IT Database	Phone, cell phone, computer, email, printer NDOT Policies and Procedures Access to required Software Access to DevOps and SharePoint for Project data

<b>ORGANIZATIONAL UNIT</b>	<b>MISSION ESSENTIAL FUNCTION</b>	<b>POSITION/TITLE &amp; (NUMBER OF EACH POSITION)</b>	<b>RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE</b>
<b>One-Month Mission-Essential Functions</b>			
Business Technology Support Division	Continued centralized support services for NDOT	Help Desk Team (4) IT Supervisor (1)	Phone, cell phone, computer, email, printer Calling Tree – BTSD and NDOT State Directory NDOT Policies and Procedures
Business Technology Support Division	Continued purchase and configuration of hardware for employees	Tech. Services Officer IT Supervisor (1) Administrative Asst.I IT Bus. Sys. Analyst or Analyst	Phone, cell phone, computer, email, printer State Directory NDOT Policies and Procedures DAS Purchasing Policies and Procedures Access to required Software

Business Technology Support Division	Provide application development support for existing applications and new development	Proj. Mgmt. Officer Engineering Officer IT Supervisors (4) IT Bus. Sys. Analyst Supervisor IT Appl. Dev. Sr. and Lead (14) IT Bus. Sys. Analyst Coordinator (3) IT Database	Phone, cell phone, computer, email, printer NDOT Policies and Procedures Access to required Software Access to DevOps and SharePoint for Project data
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The priority order objective for of each mission-essential functions included in this functional annex is listed within Table 2.

### 1-3 Mission-Essential Function Procedures

The procedures required to perform each mission-essential function included in this annex are to be determined upon COOP Activation and based on the type and severity of the disaster/event. Procedural information may be cross-reference to standard operating procedure and/or operational manuals maintained in separate document files.

### 1-4 Mission-Essential Function Partners and Interdependencies

The Partners and Interdependencies for each mission-essential function included in this annex are listed:

#### A. NDOT Internal Partners

- All NDOT Divisions/Districts

#### B. Federal Partners

#### C. State of Nebraska Partners

- Office of the CIO
- DAS Purchasing

#### D. External Partners

#### E. Vendors

- Software and Hardware providers/vendors

## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Business Technology Support Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Business Technology Support Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Business Technology Support Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Business Technology Support Division will be directed by the BTSD Division Head after the NDOT Director makes the determination to activate continuity operations. BTSD Division Head will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Business Technology Support Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The ***NDOT Business Technology Support Division ERG Team*** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- BTSD Division Head
- BTSD Technical Services Officer
- Engineering/Workflow Manager
- Project Management Officer

B. Staff Titles

- Help Desk Supervisor
- Administrative Asst. I

**NDOT Annex C-Appendix 2 Table 1: Business Technology Support Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Devin Townsend <i>BTSD Division Head</i>	ERG Chief	Coordinate IT activities for the agency. Liaison with Office of the CIO and NDAS
Suzy Fredrickson <i>BTSD Technical Services Officer</i>	ERG Member	Coordinate hardware and software acquisition. Liaison with Office of the CIO.
Jon Starr <i>Engineering/Workflow Manager</i>	ERG Member	Coordinate with Divisions/Districts on Workflow/Engineering Applications
Phanel Petit <i>Project Management Officer</i>	ERG Member	Coordinate with Divisions on COTS and custom developed applications
Pat Cruz <i>Help Desk Supervisor</i>	ERG Member	Communication and coordination of help desk activities.
Trish Sanchez <i>Admin Assistant I</i>	ERG Member	Create purchase orders for hardware, software and other supplies
Bill Baird <i>IT Business System Analysis Coordinator</i>	CST Member	
Padma Chinnachellappan <i>IT Application Development Senior</i>	CST Member	
Shirley Danahy <i>IT Supervisor</i>	CST Member	
Terry Danner <i>IT Help Desk Coordinator</i>	CST Member	

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Lou Anne Daugherty <i>IT Supervisor</i>	CST Member	
Sheila Davis <i>IT Business System Analysis Coordinator</i>	CST Member	
Cole Davison <i>IT Database Analyst Senior</i>	CST Member	
Nancy Evans <i>IT Application Development Senior</i>	CST Member	
Lavanya Ganesh <i>IT DB Analyst Lead</i>	CST Member	
Rodney Gonnermann <i>IT Application Development Lead</i>	CST Member	
Chad Heskett <i>IT Application Development Lead</i>	CST Member	
Jerry Hotovy <i>IT Application Development Senior</i>	CST Member	
Sue Kirk <i>IT Help Desk Coordinator</i>	CST Member	
Jill Lambrecht <i>IT Application Development Lead</i>	CST Member	
Tylia Penner <i>IT Application Development Senior</i>	CST Member	

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Sumalatha Poda <i>IT Application Development Lead</i>	CST Member	
Thomas Sawyer <i>IT Business System Analysis Supervisor</i>	CST Member	
Charlene Shaw <i>IT Application Developer</i>	CST Member	
John Steinbach <i>IT Application Development Senior</i>	CST Member	
Dave Tyser <i>IT Application Development Lead</i>	CST Member	
Jennifer Tyser <i>IT Supervisor</i>	CST Member	
Christopher Weiner <i>IT App Dev/Senior</i>	CST Member	
Claire Inbody <i>Highway GIS Program Manager</i>	CST Member	
Marc Zaiger <i>IT Data/DB Analyst Senior</i>	CST Member	

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Business Technology Support Division**

*NDOT Annex C-Appendix 3 Table 1: Orders of Succession*

<b>Business Technology Support Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
Primary	BTSD Division Head	Devin Townsend
1st Order	BTSD Technical Services Officer	Suzy Fredrickson
2nd Order	BTSD Project Management Officer	Phanel Petit
3rd Order	BTSD Engineering Officer	Jon Starr

**3-2 Delegation of Authority for NDOT**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (2) of this Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

Nebraska Department of Transportation  
1500 Hwy 2  
Lincoln, NE 68502

### **4-2 Location of Alternate Facilities**

NDOT Business Technology Support Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has not identified the alternate facility to serve as an alternate facility for continuity operations when the primary facility is unavailable. The plan is remote working throughout the COOP event.

### **4-3 Alternate Facility Site Support Requirements**

If an alternate site would be needed, requirements needed to support Business Technology Support Division at an alternate facility must provide at minimum:

- The workspace requirements to accommodate the mission-essential functions included in this annex would be determined upon COOP activation.
- Any parking accommodation requirements to accommodate the staff and customers would be determined upon assignment of location if needed.
- Additional site support accommodations requirements to support mission-essential functions at the alternate facility would be determined at the time of notification.
- ADA Compliance would be considered if alternate site is assigned.
- Sufficient power/water and communications infrastructure would be implemented if alternate site is assigned.

### **4-4 Alternate Facility Site Support Procedures**

Currently the BTSD Division is planning for all employees to work remotely, therefore the procedures required to prepare the workspace for staff specifically supporting the mission-essential functions identified in this annex will be determined upon notification of needing an alternate location.

Site Support Procedures for accessing and preparing the agency's alternate facility will be determined if needed.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Business Technology Support Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- BTSD Emergency Contact List
- Delegation of Authority
- BTSD Calling Tree
- CIO and Vendor Contact List
- NDOT Policies & Procedures

### **5-2 Essential Data Identified for Business Technology Support Division**

The essential data identified to support the mission-essential functions included in this annex will be determined as needed when COOP Activation occurs.

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT BTSD Division Head will work with the NDOT records manager to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT BTSD Division Head will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe-guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT BTSD Division Head will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- 10 notepads
- 12 pens
- 2 boxes of folders
- 1 package of Post-it-Notes
- 3 reams of letter-sized paper
- 1 ream of legal-sized paper
- 1 stapler

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Business Technology Support Division**

Drive-Away Kits are not applicable at this time.

### **6-4 Equipment Cache(s) Supporting Business Technology Support Division**

No Equipment Cache(s) are needed at this time.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex C-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.



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Continuity of Operations Plan

NDOT

Annex C: Business Technology Support Division

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Devin Townsend	Division Head	402-479-4791	402-478-8560	402-560-4244	devin.townsend@nebraska.gov
Suzy Fredrickson	Tech. Services Officer	402-479-4580	402-499-3211		Suzy.fredrickson@nebraska.gov
Jon Starr	Engr. / Workflow Officer	402-479-3711	402-488-5999		Jon.starr@nebraska.gov
Phanel Petit	Project Mgmt. Officer	402-479-4382	(386) 307-4629		phanel.petit@nebraska.gov
Pat Cruz	Help Desk Supervisor	402-479-4633	402-499-6139		Pat.cruz@nebraska.gov
Bill Baird	IT Bus. Sys. An. Coord.	402-479-4606	402-335-8205		
Padma Chinnachellappan	IT Application Dev. Sr.	402-479-3962			
Shirley Danahy	IT Supervisor	402-479-3963	402-478-4281		
Terry Danner	IT Help Desk Coordinator	402-479-4638	402-474-1218		
Lou Anne Daugherty	IT Supervisor	402-479-4799	402-525-0848		

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Annex C: Business Technology Support Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Sheila Davis	IT Bus. Sys. An. Coord.	402-479-3727	402-560-2933		
Cole Davison	IT Database Analyst Sr.	402-479-3987	402-770-1496		
Nancy Evans	IT Application Dev. Sr.	402-479-3793	402-904-8927		
Lavanya Ganesh	IT DB Analyst Lead	402-479-3779	402-470-2827		
Rodney Gonnermann	IT Application Dev. Lead	402-479-3822	402-489-2539		
Chad Heskett	IT Application Dev. Lead	402-479-3964	402-560-0389		
Jerry Hotovy	IT Application Dev. Sr.	402-479-3679			
Sue Kirk	IT Help Desk Coordinator	402-479-4898	402-421-3469		
Jill Lambrecht	IT Application Dev. Lead	402-479-3626	402-423-4792		
Tylia Penner	IT Application Dev. Sr.	402-479-3980	402-202-4063		
Sumalatha Poda	IT Application Dev. Lead	402-479-3564	402-613-4724	402-817-1143	
Trish Sanchez	Administrative Asst. I	402-479-4842	402-890-8792		

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[Month Year]

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Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Thomas Sawyer	IT Bus. Sys. An. Supvr.	402-479-3616	402-440-5876		
Charlene Shaw	IT Application Developer	402-479-3749	402-817-8042		
John Steinbach	IT Application Dev. Sr.	402-479-3520	402-416-8987		
Dave Tyser	IT Application Dev. Lead	402-479-3522	402-560-5321		
Jennifer Tyser	IT Supervisor	402-479-4800			
Christopher Weiner	IT Application Dev. Sr.	402-479-3826			
Marc Zaiger	IT Data/DB Analyst Sr.	402-479-3792	402-540-3587		

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BACK COVER

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex D: Communications Division

September 2022

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# NDOT CONTINUITY OF OPERATIONS PLAN

## Annex D: Communications Division

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

To establish priorities before an emergency to ensure that the COOP Emergency Relocation Group (ERG) can complete mission-essential functions that are critical to the overall operation of the Communications Division and that support emergency response efforts within the State of Nebraska and NDOT.

**1-2 Mission-Essential Function Priority**

*Table 1. One-day, One-Week, and One-Month Mission-Essential Functions*

Item	COMMUNICATIONS DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <u>One Day</u> disruption. (From
	Provide division support for overall NDOT operations.
	Manage the Divisions contracts, purchasing, and personnel requests.
	Facilitate and manage the distribution of public information regarding the status of NDOT assigned infrastructure.
	Manage media relations in the event of a disaster. Interact with members of the
	Manage NDOT records retention
	Manage NDOT public involvement practices for projects receiving state and federal funding.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <u>One Week</u> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Review changes to policies and make adjustments as necessary
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <u>One Month</u> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>

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Continuity of Operations Plan

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Annex D: Communications Division

*Table 2- Mission Essential Functions*

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Communications Division	Provide division support for overall NDOT operations.	Division Manager (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Calling Tree – Code Agencies Contact List State Directory
Communications Division	Manage the Divisions contracts, purchasing, and personnel requests.	Communications Division Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Union Contract's State Statutes NDOT/Policies NAPE/AFSCME Agreement Pay Plan

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Communications Division	During an emergency, facilitate and manage the distribution of public information regarding the status of NDOT assigned infrastructure.	Communications Division Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, social media COOP Plan, contact rosters, state directory.
Communications Division	Manage media relations in the event of a disaster. Interact with members of the media	Communications Division Hwy Communications Services Manager (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, social media
Communications Division	Manage NDOT records retention policy	NDOT/Communications Division HWY Communications Services Manager (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, servers, scanners

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Communications Division	Manage NDOT public involvement practices for projects receiving state and federal funding.	NDOT/Communications Division HWY Programs Administrator (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  NEPA guidelines, Nebraska Public Involvement Procedure Agreement
One-Week Mission-Essential Functions			
Communications Division	Review changes to policies and make adjustments are necessary	NDOT/Communications Division Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Union Contract's State Statutes NDOT/Policies

The priority order and recovery time objective for of each mission essential functions included in this functional annex is as listed in Table 2.

**1-3 Mission-Essential Function Procedures**

The procedures required to perform each mission-essential function included in this annex will be determined based on the type and scope of the disaster. Cross-reference to any division standard operating procedure and/or related operations documents whenever possible.

**1-4 Mission-Essential Function Partners and Interdependencies**

No identified Partners and Interdependencies for each mission-essential function are included in this annex.

- NDOT Internal Partners
  - NDOT Divisions and Districts
- Federal Partners
- State of Nebraska Partners
- External Partners
- Vendors

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## APPENDIX 2: EMERGENCY RELOCATION GROUP

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Communications Division operations provided through the Nebraska Department of Transportation (NDOT).

### 2-1 Emergency Relocation Group Responsibilities

Prior to a continuity activation Communications Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Communications Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### 2-2 Notification Procedures

Activation of Communications Division will be directed by the Highway Communications Division Manager after the Director makes the determination to activate continuity operations. Highway Communications Division Manager will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### ERG Chief Responsibilities

When ordered to activate, the NDOT Communications Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### 2-3 Emergency Relocation Group Members

The *NDOT Communications Division ERG Team* is derived from the following job titles and functions:

#### A. Leadership Titles

- Director of Communication and Public Policy
- Highway Communication Manager
- Highway External Affairs Manager
- Highway Programs Administrator

#### B. Staff Titles

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Annex D: Communications Division

- The staff titles for the mission-essential functions included in this annex are included in Appendix 2 Table 1.

*NDOT Annex D-Appendix 2 Table 1: Communications Division ERG Team*

Name/Title	ERG Position	MEF Role/Responsibility
Shannon Ankeny <i>Director of Communication &amp; Public Policy</i>	ERG Chief	Implement Nebraska State Statutes & Succession of Authority & Jurisdiction. Delegate Authority. Review & approve policy changes. Manage media requests
Jeni Campana <i>Highway Services Manager</i>	ERG Member	Determine, Develop & coordinate customers' request for information. (Agency & Division). Prioritize and allocate resources for the Division – manage budget.
Sarah Soula <i>Highway External Affairs Manager</i>	ERG Member	Manage relationships with External Partners and manage public involvement of projects per NEPA.
Erich Strack <i>Public Affairs Manager</i>	ERG Member	Manages relations with federal and state elected leaders.
Tony Bui <i>Highway Programs Administrator</i>	ERG Member	Coordinate public involvement procedures to ensure that letting schedule is not affected by COOP and NDOT is in compliance with FHWA
Vacant <i>Office Specialist</i>	CST Member	
Clint D. Mangan <i>Communication &amp; Marketing Spec I</i>	CST Member	

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Annex D: Communications Division

Kimberly A Knust <i>Office Specialist</i>	CST Member	
Vacant <i>Office Technician</i>	CST Member	
Denise I Matulka Administrative Programs Officer II	CST Member	
Diane M. German <i>Comm &amp; Marketing Specialist III</i>	CST Member	
Janelle D. Vander Hamm <i>Office Specialist</i>	CST Member	
Jim W. Pester <i>Comm &amp; Marketing Specialist I</i>	CST Member	
Linda M. Wilson <i>Comm &amp; Marketing Specialist II</i>	CST Member	
Maria Bartek <i>Comm &amp; Marketing Specialist II</i>	CST Member	
Pege A. Gross-Rhode <i>Printing Services Technician II</i>	CST Member	
Vacant <i>Printing Services Technician II</i>	CST Member	
Sophia Lopez <i>Administrative Technician</i>	CST Member	

NDOT

Annex D: Communications Division

Vacant <i>Comm &amp; Marketing Specialist II</i>	CST Member	
Theresa Sampson <i>Mail/Material Specialist</i>	CST Member	
Tony Bui <i>Highway Programs Administrator</i>	CST Member	
Samantha Huebner <i>Highway Programs Specialist</i>	ERG Member	
Sarah Fisher <i>Highway Programs Specialist</i>	CST Member	
Sierra Luhn <i>Highway Programs Specialist</i>	CST Member	
Lucas Nelsen <i>Highway Programs Specialist</i>	CST Member	
Vacant <i>Mail/Material Specialist</i>	CST Member	
Vacant <i>Comm &amp; Marketing Specialist III</i>	CST Member	

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Communications Division**

*NDOT Annex D-Appendix 3 Table 1: Orders of Succession*

Communications Division		
Succession	Title	Name
Primary	Highway Communications Division Manager	Shannon Ankeny
1st Order	Highway Communications Service Manager	Jeni Campana
2nd Order	Highway External Affairs Manager	Sarah Soula
3rd Order	Highway Programs Administrator	Tonty Bui

**3-2 Delegation of Authority for Nebraska DOT**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity of Operations Plan.

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## APPENDIX 4: ALTERNATE FACILITY

### 4-1 Primary Facility

NDOT Communications Division  
1500 Highway 2  
Lincoln, NE 68509-4759

### 4-2 Location of Alternate Facilities

NDOT Communications Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT Communications Division has not identified a location to serve as an alternate facility for continuity operations when the primary facility is unavailable.

### 4-3 Alternate Facility Site Support Requirements

Requirements to adequately support Communications Division the alternate facility will be determined upon activation of the COOP Plan. Considerations:

All the requirements for a space to adequately support the staff and customers for each mission-essential function identified in this annex.

This information is used to identify an alternate facility if for any reason the existing alternate facility is unavailable at the time of the continuity activation or any time when a new alternate facility must be established.

- Identify the workspace requirements to accommodate the mission-essential functions included in this annex. *Example: Workspace for 2 to 4 staff, or Customer Service window for 2 clerks, with adequate lobby or waiting area space for clients waiting for appointments.*
- Identify the parking accommodation requirements to accommodate the staff and if applicable the customers access services. *Example: Parking for 2 to 4 staff and accessible parking for approximately 8 clients per hour from 9 am to 6 pm. Clients average parking time approximately 75 minutes for appointments.*
- Identify additional site support accommodations requirements to support mission-essential functions at the alternate facility.
- ADA Compliance
- Sufficient power/water and communications infrastructure

### 4-4 Alternate Facility Site Support Procedures

Upon activation of the COOP Plan, considerations will be made to prepare the workspace for staff specifically supporting the mission-essential functions identified in this annex.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Communications Division**

- State Statues
- Letters of Authority
- Union Contracts
- NDOT/Policies & Procedures
- Calling Tree Code Agencies Contact list
- Emergency Contact Roster
- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Communications Division**

- NAPE/AFSCME Agreement Pay Plan

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Highway Communications Division Manager will work with the NDOT Records Manager to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Highway Communications Division Manager will work with the NDOT Records Manager to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Highway Communications Division Manager will work with the NDOT Controller to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- Wifi connectors
- Cameras (video and still)
- 10 Notepads
- 8 Pens
- 2 Boxes of Folders
- 2 Packages of Post-it-Notes
- 2 Boxes of Envelopes
- 5 Reams of Paper
- 3 Boxes of Letterhead

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Communications Division**

At this time no Drive-Away Kits are established to support the functions identified in this Annex.

### **6-4 Equipment Cache(s) Supporting Communications Division**

At this time no Equipment Cache(s) established to support the functions identified in this Annex.

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## APPENDIX 7: COMMUNICATIONS CAPABILITIES

### 7-1 Communications Capabilities Requirements

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex D-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### 7-2 Communications Capabilities & Equipment Inventory List Guidance

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Email
Vacant	02704002 OFFICE TECHNICIAN			
Vacant	02700589 STATISTICAL ANALYST III			
Clint D Mangen (114119)	02701428 ARTIST II	(402) 479-4306		clint.mangen@nebraska.gov
Vacant	02700706 OFFICE SERVICES MANAGER II			
Vacant	02700690 OFFICE SERVICES MANAGER I			
Denise I Matulka (80002544)	02704136 ADMINISTRATIVE PROGRAM OFFICER II	(402) 479-4316		denise.matulka@nebraska.gov
Diane M German (120784)	02700723 COMM & MARKETING SPECIALIST III	(402) 479-4541		diane.german@nebraska.gov
Janelle Vander Hamm (120246)	02700714 OFFICE SPECIALIST	(402) 479-4398		janelle.vanderhamm@nebraska.gov

Jeni R Campana (1136020)	02703863 HWY COMMUNICATION SERVICES MANAGER	(402) 479-4357	(402) 560-9764	jeni.campana@nebraska.gov
Jim W Pester (113454)	02700689 COMM & MARKETING SPECIALIST II	(402) 479-4505		jim.pesther@nebraska.gov
Linda M Wilson (113000)	02704146 COMM & MARKETING SPECIALIST III	(402) 479-3887		linda.wilson@nebraska.gov
Maria Bartak (80008369)	02700708 COMM & MARKETING SPECIALIST II	(402) 479-3885		maria.bartak@nebraska.gov
Pege Gross-Rhode (116378)	02700695 PRINTING TECHNICIAN II	(402) 479-4899		pege.gross-rhode@nebraska.gov
Vacant	02700699 PRINTING TECHNICIAN II			
Sarah R Soula (6086798)	02700422 EXTERNAL AFFAIRS MANAGER	(402) 479-4871	(402) 471-7667	sarah.soula@nebraska.gov
Alyssa Damien (80039715)	02700718 ADMINISTRATIVE TECHNICIAN	(402) 479-4310		alyssa.damien@nebraska.gov
Theresa Sampson (113460)	02700679 MAIL/MATERIAL SPECIALIST	(402) 479-4522		theresa.sampson@nebraska.gov



Tony Bui (80006872)	02700692 HIGHWAY PROGRAMS ADMINISTRATOR	(402) 479-4994		tony.bui@nebraska.gov
Vacant	02700680 MAIL/MATERIAL SPECIALIST			
Shannon Ankeny (80036895)	02700744 HWY COMMUNICATION S DIVISION MANAGER	(402) 479-4512		shannon.ankeney@nebraska.gov

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex E: Construction Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex E: Construction Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

To establish priorities before an emergency to ensure that the COOP Emergency Relocation Group (ERG) for each division can complete mission-essential functions that are critical to the overall operation of the Division and that support emergency response efforts within the State of Nebraska and NDOT.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	CONSTRUCTION DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.)
	Implementation of the Emergency Management Plan
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continuation of function listed under item Number 1 above</i>
	Provide division support for overall NDOT highway construction operations.
	Reviewing and approving contractor estimates
	Approving subcontractor requests
	Processing contract change requests
	Coordinating construction activities with FHWA
	Ensuring the vendors have the proper insurance
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	Continuation of functions listed under item Number 1 and 2 above
	P.S.&E. reviews and establishment of estimates
	Establishing current contractor prequalification ratings.
	Advertising, letting, awarding and executing contracts for construction projects
	Processing of plan revisions
	Processing shop plans

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Disruption Mission Essential Functions</b>			
Construction Division	Implementation of the Emergency Management Plan	Division Engineer (1)	Phones, cell phones, email, Computers/Laptops, printers NDOT COOP

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Week Disruption Mission-Essential Functions</b>			
Construction Division	Continuation of One-Day Mission Essential Functions		
Construction Division	Provide division support for overall NDOT operations.	Division Engineer Asst Constr Engr (3) Contracts Manager	Phones, cell phones, email, Computers/Laptops, printers  Access to AASHTOware SiteManager, On Base
Construction Division	Reviewing and approving contractor estimates	Hwy Contract Supr (1)	Phones, cell phones, email, Computers/Laptops, printers  Access to AASHTOware SiteManager, OnBase
Construction Division	Approving subcontractor requests	Hwy Contracts Supr (1) Hwy Contract Tech II (1)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Processing contract change requests	HWY Contract Supr (1) Hwy Contract Tech II (1)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Coordinating construction activities with FHWA	Asst. Construction Engineer (3)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Ensuring the vendors have the proper insurance	Hwy Contracts Supr (1) Hwy Contract Tech II (1)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase

<b>One month disruption mission-essential functions</b>			
Construction Division	Continuation of One-week Mission Essential Functions		
Construction Division	P.S.&E. reviews, establishment of project estimates, and time frames	P.S.&E. Engineer (10)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Establishing current contractor prequalification ratings.	Hwy Contracts Supr; Contracts Lettings Manager (5)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Advertising, letting, awarding and executing contracts for construction projects	Hwy Contracts Supr Contracts Lettings Manager (5)	Phones, cell phones, email, Computers/Laptops, printers Access to AASHTOware SiteManager, OnBase
Construction Division	Processing of plan revisions	Asst. Construction Engineer (1) and Construction Projects Coordinator	Phones, cell phones, email, Computers/Laptops, printers, OnBase
Construction Division	Processing shop plans	Asst. Construction Engineer (1) and Construction Projects Coordinator	Phones, cell phones, email, Computers/Laptops, printers, OnBase

**1-3 Mission-Essential Function Procedures**

SOPs are located in On-Base under NDOR CNST Construction; Doc Type NDOT CNST Standard Operating Procedures (SOP)

**1-4 Mission-Essential Function Partners and Interdependencies**

Partners and Interdependencies can be found on the Business Process Analysis worksheet for each mission-essential function.

- A. NDOT Internal Partners
- B. Federal Partners
- C. State of Nebraska Partners
- D. External Partners
- E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Construction Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Construction Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Construction Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Construction Division functions will be directed by the State Construction Engineer after the Director or Deputy makes the determination to activate continuity operations. State Construction Engineer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Construction Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the situation and of the activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The NDOT Construction Division ERG Team is derived from the following job titles and functions:

#### **A. Leadership Titles**

- Division Engineer (Engineer 7)
- Asst Division Engineer (Engineer 5)
- P.S. & E. Engineer (Engineer 5)
- Contracts Lettings Manager
- Hwy Contracts Supervisor
- Hwy Construction Projects Coordinator

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Continuity of Operations Plan Annex E: Construction Division]

- Hwy Contracts Tech II
- Position Descriptions can be found at
  - <https://das.nebraska.gov/personnel/classncomp/jobspecs/>

B. Staff Titles

- See NDOT Annex E Appendix 8 Table 1

**NDOT Annex E Appendix 2 Table 1: Construction Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
James J. Knott <i>State Construction Engineer</i>	<b>ERG Chief</b>	Coordinate priorities with the Administration. Review & approve suggested policy changes.
Kendall Stege <i>Contracts Manager</i>	ERG Member	Coordinate the final plan review and contract lettings.
Mike Stoltenberg <i>P.S.&amp;E. Engineer</i>	ERG Member	Reviews and approves final construction plans for letting. Prepares the special provisions and quantities for letting.
Lorraine Legg <i>Assistant Construction Engineer-Contract Administration</i>	ERG Member	Coordinate the administration of contract provisions and processes contract changes.
Kerri Halstead <i>HWY CONTRACTS SUPERVISOR(CONTRACT ADMIN)</i>	ERG Member	Approves contractor progress estimates, coordinates the contract change process
Kellie Troxell <i>Assistant Construction Engineer-Structures and Grading</i>	ERG Member	Resolve construction issues with structures and grading. Review and approve specifications for construction. Coordinates approval of shop plans
Andy Dearmont <i>Assistant Construction Engineer-Pavements and Final Records</i>	ERG Member	Resolve construction issues with pavements. Review and approve specifications. Coordinates the review and approval of final records



**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Construction Division**

*NDOT Annex E-Appendix 3 Table 1: Orders of Succession*

<b>Construction Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	State Construction Engineer	James J. Knott
<b>1st Order</b>	Deputy Director	Moe Jamshidi
<b>2nd Order</b>	Assistant Construction Engineer	Lorraine Legg
<b>3rd Order</b>	Assistant Construction Engineer	Kellie Troxell

**3-2 Delegation of Authority for Construction Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

1500 Building-NDOT Central Complex  
1500 Highway 2  
Lincoln, NE 68502

### **4-2 Location of Alternate Facilities**

NDOT Construction Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the employee's home or other remote location that satisfies the need to serve as an alternate facility for continuity operations when the primary facility is unavailable.

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Construction Division the alternate facility must provide at minimum:

- Sufficient power/water and communications infrastructure
- Accessible Wifi and State of Nebraska network connectivity.

### **4-4 Alternate Facility Site Support Procedures**

- The employees have been working remotely for part of the week since 2020 and the work space needs have been met.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Construction Division**

- State Statutes
- Letters of Authority
- Calling Tree Code Agencies Contact List
- Emergency Contact Roster
- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- Construction Office documents
  - Standard Specifications
  - AASHTOWare documentation
  - Construction Manual

### **5-2 Essential Data Identified for Construction Division**

Information of this section can be found on the Business Process Analysis worksheet for each mission-essential function or from surveying the essential-staff identified in this annex.

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT State Construction Engineer will use On-Base to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT State Construction Engineer will use On-Base to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Safeguard and pre-position essential records at off-site locations, including cloud storage, with planned redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT State Construction Engineer will use the division's budgeted financial resources to support continuity operations.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- Laptop Computers
- WIFI Hotspots
- Various size monitors
- Cell Phones
- Internet service
- VPN Service
- Access to the OCIO Servers

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Construction Division**

### **6-4 Equipment Cache(s) Supporting Construction Division**

Each individual either has or will be issued the equipment necessary for the operations to continue in a remote location.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex E-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

**NDOT Annex E-Appendix Table 1 - Construction Division Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
James J. Knott	State Construction Engineer/Division ERG Chief	402-479-4532	402-480-2792		<a href="mailto:jim.knott@nebraska.gov">jim.knott@nebraska.gov</a>
Kendall Stege	Contract Lettings Manager	402-480-1275	402-480-1275		<a href="mailto:kendall.stege@nebraska.gov">kendall.stege@nebraska.gov</a>
Mike Stoltenberg	P.S.&E. Engineer	402-479-4556			<a href="mailto:mike.stoltenberg@nebraska.gov">mike.stoltenberg@nebraska.gov</a>
Michelle Weigel	Prequal and Lettings Manager	402-479-4559	402-770-0153		<a href="mailto:michelle.weigel@nebraska.gov">michelle.weigel@nebraska.gov</a>
Lorraine Legg	Asst. Construction Engineer – Contract Administration	402-479-4455	402-219-1025		<a href="mailto:lorraine.legg@nebraska.gov">lorraine.legg@nebraska.gov</a>
Kerri Halstead	Hwy Contracts Supervisor	402-479-4866	402-440-7386		<a href="mailto:Kerri.Halstead@nebraska.gov">Kerri.Halstead@nebraska.gov</a>
Kellie Troxell	Asst. Construction Engineer – Structures and Grading	402-479-4452	402-219-1192		<a href="mailto:Kellie.troxell@nebraska.gov">Kellie.troxell@nebraska.gov</a>
Andy Dearmont	Asst. Construction Engineer –	402-479-4451	402-440-1214		<a href="mailto:andy.dearmont@nebraska.gov">andy.dearmont@nebraska.gov</a>

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NDOT

Continuity of Operations Plan

Annex E: Construction Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
	Pavements and Final Records				

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Annex E: Construction Division

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INSERT TAB





# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex F: Controller Division

September 2022

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# NDOT CONTINUITY OF OPERATIONS PLAN

## Annex F: Controller Division

APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)

APPENDIX 2: EMERGENCY RELOCATION GROUP

APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY

APPENDIX 4: ALTERNATE FACILITY

APPENDIX 5: ESSENTIAL RECORDS and DATA

APPENDIX 6: EQUIPMENT and RESOURCES

APPENDIX 7: COMMUNICATIONS CAPABILITIES

APPENDIX 8: CONTACT ROSTER

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

Oversight and administration of all agency financial matters. Advising on financing and compliance in accordance with State statutes and Federal regulations. Maintains liaison with the Department of Administrative Services, State Treasurer, State Auditor, Department of Revenue, Legislative Fiscal Office, Federal Highway Administration, and other agencies and departments associated with transportation.

**Mission-Essential Function Priority**

Item	<b>CONTROLLER DIVISION MISSION-ESSENTIAL FUNCTIONS</b>
	<b>Mission-essential functions that must be performed, given a <u>One Day</u> disruption. (From highest priority to lowest.)<sup>a</sup></b>
1	<b>Provide communication to NDOT Controller Staff (Aaron)</b>
2	<b>Provide communication to agency divisions/districts, state agencies, and Federal Highway Administration (FHWA). (Aaron)</b>
	<b>Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <u>One Week</u>. (From highest priority to</b>
	<b><i>Continue functions listed under item Number 1 above</i></b>
3	<b>Deposit checks received for the Agency. (Teri King)</b>
4	<b>Process Agency critical payables to ensure continuation of services. (Teri King /Denise Rice)</b>
5	<b>Monitor Agency appropriations and budget allotments. (Jenessa)</b>
6	<b>Prepare and submit reimbursement claim to Federal Agencies. (Denise Rice)</b>
7	<b>Monitor Agency cash flow. (Jenessa)</b>
	<b>Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <u>One Month</u>. (From highest priority to</b>
	<b><i>Continuation of functions listed under item Number 1 and 2 above</i></b>
8	<b>Process all Agency payables. (Teri King)</b>
9	<b>Prepare billings in Roads Billing System (RBS). (Teri King / Denise Rice)</b>
10	<b>Respond to internal and external requests for Agency financial or budget information. (Aaron/ Jenessa)</b>
11	<b>Develop and coordinate Controller Reconstitution Plan. (Aaron)</b>
12	<b>Reconciliation of NDOT Financial Systems. (Jenessa / Teri King)</b>
13	<b>Process Highway Allocation payments. (Jenessa)</b>
14	<b>Process Interfaces into State System. (JeanE.)</b>
15	<b>Prepare final cost audits, ICRs, sub recipient monitoring. (Tamara)</b>

Table 2- Mission Essential Functions

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Controller Division	Provide communication to NDOT Staff	Chief Financial Officer (1)	Phones, cell phones, email, Laptops, VPN accounts, Wi-Fi Controller Staff Roster (Appendix 8-1)
Controller Division	Provide communication to NDOT divisions, NDOT districts, state agencies, and FHWA.	Chief Financial Officer (1)	Phones, cell phones, email, Laptops, VPN accounts, Wi-Fi Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
Controller Division	Deposit checks received for the Agency.	Accounting & Finance Manager (1) Accountant III (1)	Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, and Agency servers.
Controller Division	Process Agency critical payables to ensure continuation of services.	Accounting & Finance Manager (1) Accountant I (1)	Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, and Agency servers.
ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Controller Division	Monitor Agency appropriations.	Accounting & Finance Manager (1) Budget Analyst (1)	Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, and Agency servers.
Controller Division	Prepare and submit reimbursement claim to FHWA.	Accounting Cost Manager (1) Federal Aid Administrator III (1)	Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to Mainframe and Agency servers.
Controller Division	Monitor Agency cash flow.	Hwy Budget & Finance Manager (1) Accountant III (1)	Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1 and Agency servers

<b>One-Month Mission-Essential Functions</b>			
<b>Controller Division</b>	<b>Process all Agency payables.</b>	<b>Accounting &amp; Finance Manager (1) Accountant I (4)</b>	<b>Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, OnBase, and Agency servers.</b>
<b>Controller Division</b>	<b>Prepare billings in Roads Billing System.</b>	<b>Accounting &amp; Finance Manager (1) Accountant III (1)</b>	<b>Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, and Agency servers.</b>
<b>Controller Division</b>	<b>Respond to internal requests for Agency financial or budget information.</b>	<b>Hwy Budget &amp; Finance Manager (1) Budget Analyst (1)</b>	<b>Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to E1, Mainframe, and Agency servers.</b>
<b>Controller Division</b>	<b>Develop and coordinate Controller Division Reconstitution Plan.</b>	<b>Chief Financial Officer (1) Hwy Budget &amp; Finance Manager (1) Accounting Cost Manager (2) Accounting &amp; Finance Manager (1) Hwy Audit Manager (1)</b>	<b>Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to Agency servers.</b>
<b>Controller Division</b>	<b>Prepare final cost audits, ICRs, sub recipient monitoring</b>	<b>Highway Audit Manager (1) Auditor Senior (5) Auditor (1)</b>	<b>Cell phones, email, Laptops, VPN accounts, Wi-Fi, printers Access to Agency servers and Mainframe</b>

*NDOT Controller Division list of prioritized mission-essential functions:*

1. Communication to Controller staff Data Worksheet
2. Communication with Internal and External Agencies Data Worksheet
3. Deposit Data Worksheet
4. Critical Payables Data Worksheet
5. Agency Allotment Data Worksheet
6. Data Worksheet
7. Agency Cashflow Data Worksheet bf
8. Non-Critical Payables Data Worksheet
9. Data Worksheet
10. Internal Requests on Agency Financial and Budget Information Data Worksheet
11. Develop and coordinate Controller Reconstitution Plan Data Worksheet

12. Reconcile of NDOT Financial Systems Data Worksheet
13. Highway Allocation Data Worksheet
14. Interface Data Worksheet

## 1-2 Mission-Essential Function Procedures

(Links are available to NDOT employees but may not be available to others.)

1. [Mission Essential Func - 1 Communication to Controller staff Data Worksheet](#)
2. [Mission Essential Func - 2 Communication with Internal and External Agencies Data Worksheet](#)
3. [Mission Essential Func - 3 Deposit Data Worksheet](#)
4. [Mission Essential Func - 4 Critical Payables Data Worksheet](#)
5. [Mission Essential Func - 5 Agency Allotment Data Worksheet](#)
6. [Mission Essential Func - 6 Data Worksheet](#)
7. [Mission Essential Func - 7 Agency Cashflow Data Worksheet](#)
8. [Mission Essential Func - 8 Non-Critical Payables Data Worksheet](#)
9. [Mission Essential Func - 9 Data Worksheet](#)
10. [Mission Essential Func - 10 Internal Requests on Agency Financial and Budget Information Data Worksheet](#)
11. [Mission Essential Func - 11 Develop and coordinate Controller Reconstitution Plan Data Worksheet](#)
12. [Mission Essential Func - 12 Reconcile of NDOT Financial Systems Data Worksheet](#)
13. [Mission Essential Func - 13 Highway Allocation Data Worksheet](#)
14. [Mission Essential Func - 14 Interface Data Worksheet](#)

## 1-3 Mission-Essential Function Partners and Interdependencies

### A. NDOT Internal Partners

- BTSD provides office technology support (MEF #1, #2, #3, #4, #5, #6, #7, #8, #9, #10, #11, #12, #13, #14)
- OCIO provides office technology support (MEF #1, #2, #7)
- Operations Division provides phone support (MEF #1, #2, #11)
- Senior Leadership provides coordination (MEF #1, #2 #11)

### B. Federal Partners

- FHWA Nebraska Division: billings and regulatory coordination (MEF #2, #6, #9, #11)
- NHTSA: billings and regulatory coordination (MEF #6)
- FTA: billings and regulatory coordination (MEF #6)
- ECHO: billings and regulatory coordination (MEF #6)

### C. State of Nebraska Partners



NDOT

Continuity of Operations Plan

Annex F: Controller Division

- State Treasurer's office: revenues and invoicing (MEF #3, #4, #5, #6, #7, #8, #9, #10)
- State Budget office: coordination (MEF #5, #10)

**D.** External Partners (see above)

**E.** Vendors: coordination of resources as needed based on recovery efforts.

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## APPENDIX 2: EMERGENCY RELOCATION GROUP

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Controller Division operations provided through the Nebraska Department of Transportation (NDOT). **Telework**

### 2-1 Emergency Relocation Group Responsibilities

Prior to a continuity activation Controller Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Controller Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### 2-2 Notification Procedures

Activation of Controller Division functions will be directed by the Chief Financial Officer after the Director makes the determination to activate continuity operations. Chief Financial Officer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### ERG Chief Responsibilities

When ordered to activate, the NDOT Controller Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### 2-3 Emergency Relocation Group Members

The *NDOT Controller Division ERG Team* is derived from the following job titles and functions:

- A. Leadership Titles – See table below
- B. Staff Titles – See table below

NDOT Annex F-Appendix 2 Table 1: Controller Division ERG Team

Name/Title	ERG Position	MEF Role/Responsibility
<p><b>Aaron Teachout</b> <i>Chief Financial Officer</i></p>	<p><b>ERG Chief</b></p>	<p>Oversee &amp; administer all agency financial matters.</p> <p>Financial planning &amp; programming, revenue &amp; expenditure projections, budgeting, financial reporting, fund controls, audits, financial systems, project finance, cash flow management, &amp; financial analysis.</p> <p><b>Maintain liaison with the Dept. of Administrative Service, State Treasurer, State Auditor, Dept. of Revenue, Legislative Fiscal Office, Federal Highway Administration, other state agencies, and other state departments of transportation</b></p>
<p><b>Jenessa Boynton</b> <i>Highway Budget &amp; Finance Manager</i></p>	<p><b>ERG Member</b></p>	<p>Manage Cost Accounting Unit – ACT system, Budget, Procurement Card, General Ledger, Revenue – projections &amp; reporting, and Financial Reporting.</p>
<p><b>Denise Rice</b> <i>Accounting Costs Manager</i></p>	<p><b>ERG Member</b></p>	<p>Manage the Project Finance Section.</p> <p>Financial liaison between Agency &amp; Federal Highway Administration (FHWA). Manage inactive federal obligations.</p> <p>Perform financial analysis &amp; reporting for management, auditors, &amp; FHWA.</p>

<p><b>JeanE. Plihal</b> <i>Accounting Costs Manager</i></p>	<p><b>ERG Member</b></p>	<p>Responsible for the accuracy of the Agency Financial Systems. First contact for Financial Systems issues and Division Technical Support. Responsible for Roads Financial Edits (RFE) and accounting manual. Manage Accounting &amp; Finance Manager position.</p>
<p><b>Teri King</b> <i>Accounting &amp; Finance Manager</i></p>	<p><b>CST Member</b></p>	<p>Ensure processing of all agency accounts payable &amp; accounts receivable functions are completed. Manage Accounting Operations. Coordinate internal controls functions. Primary Financial Point of Contact for Nebraska Emergency Management Agency (NEMA).</p>
<p><b>Tamara Applebee</b> <i>Highway Audit Manager</i></p>	<p><b>ERG Member</b></p>	<p>Perform Pre-Award, Cost Reviews, &amp; Internal reviews of all types. Conduct Supervisory reviews of audit working papers, and draft reports. Sub-recipient monitoring.</p>
<p><b>Connie Heiser</b> <i>Accountant III</i></p>	<p><b>CST Member</b></p>	<p>As assigned based on type and severity of disaster.</p>
<p><b>Liza Alderman</b> <i>Budget Analyst</i></p>	<p><b>CST Member</b></p>	<p>As assigned based on type and severity of disaster.</p>
<p><b>Chad Walford</b> <i>Accountant III</i></p>	<p><b>CST Member</b></p>	<p>As assigned based on type and severity of disaster.</p>
<p><b>James Busing</b> <i>Accountant III</i></p>	<p><b>CST Member</b></p>	<p>As assigned based on type and severity of disaster.</p>

<b>Gerry Neeman</b> <i>Federal Aid Administrator III</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Mary Lou Bohuslavsky</b> <i>Accountant II</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Marsha Sand</b> <i>Accountant III</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Rhonda Nimmich</b> <i>Accountant III</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Valda Opp</b> <i>Accountant II</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Jacob Clinchard</b> <i>Student Work Study</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Vacant</b> <i>IT Business Systems Analyst</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Natalie E. Johnson</b> <i>Accountant III</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Linda Soulliere</b> <i>Accountant I</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Laurie Burling</b> <i>Accountant I</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Susan Wenzl</b> <i>Accountant I</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.

<b>Sue Wurster</b> <i>Accountant I</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Helene Baustian</b> <i>Auditor Senior</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Crispin Mayers</b> <i>Auditor Senior</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.
<b>Erik Long</b> <i>Auditor Senior</i>	<b>CST Member</b>	As assigned based on type and severity of disaster.

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**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

3-1 Leadership Succession for Controller Division

*NDOT Annex F-Appendix 3 Table 1: Orders of Succession*

<b>Controller Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	<b>Chief Financial Officer</b>	<b>Aaron Teachout</b>
<b>1st Order</b>	<b>Highway Budget &amp; Finance Manager</b>	<b>Jenessa Boynton</b>
<b>2nd Order</b>	<b>Accounting Costs Manager</b>	<b>JeanE Plihal</b>
<b>3rd Order</b>	<b>Accounting Costs Manager</b>	<b>Denise Rice</b>
<b>4<sup>th</sup> Order</b>	<b>Highway Audit Manager</b>	<b>Tamara Applebee</b>

3-2 Delegation of Authority for NDOT.

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## APPENDIX 4: ALTERNATE FACILITY

### 4-1 Primary Facility

NDOT Controller Division  
1500 Hwy 2  
Lincoln, NE 68509

### 4-2 Location of Alternate Facilities

NDOT Controller Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT Controller Division has identified telework to serve as an alternate location for continuity operations when the primary facility is unavailable.

### 4-3 Alternate Facility Site Support Requirements

To adequately support Controller Division the following must be provide at minimum:

With support from BTSD, Operations and OCIO, Controller Division plan is to have staff work remotely from home.

- Minimum requirements include:
  - Laptop computers
  - Computer monitors
  - VPN access
  - Wi-Fi access
  - State of Nebraska network connectivity
  - Mainframe access
  - E1 access
  - Printers
- ADA Compliance if an alternative facility is identified
- Sufficient power/water and communications infrastructure if an alternative facility is identified

### 4-4 Alternate Facility Site Support Procedures

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## APPENDIX 5: ESSENTIAL RECORDS and DATA

- Essential Records Identified for Controller Division NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- State Statutes
- NDOT/Policies & Procedures
- NDOT Employee Contacts
- Emergency Contact Roster
- Propriety of Purchasing
- State Accounting system Enterprise 1
- Union Contracts

### 5-1 Essential Data Identified for Controller Division

- NDOT Continuity of Operations Plan at [\\dotfs\contr\Continuity of Operations Plan \(COOP\)](\\dotfs\contr\Continuity of Operations Plan (COOP))
- State Statutes at <https://nebraskalegislature.gov/laws/browse-statutes.php>
- NDOT/Policies & Procedures at <https://dotspot.nebraska.gov/tools/ndot-operating-instructions/>
- NDOT Employee Contacts at <https://dotspot.nebraska.gov/tools/employee-directory/>
- Emergency Contact Roster (see Appendix 8)
- Propriety of Purchasing at <\\dotfs\public\Controller\Propriety of Purchasing>
- Union Contracts at [http://das.nebraska.gov/emprel/Employee\\_Relations\\_Labor\\_Contract.html](http://das.nebraska.gov/emprel/Employee_Relations_Labor_Contract.html)
- State Accounting system Enterprise 1 at <https://pfc.ne.gov/jde/E1Menu.maf?jdeowpBackButtonProtect=PROTECTED>
- Mainframe, OnBase, and Agency servers.

### 5-2 Access to Essential Records and Data During a Continuity Activation

NDOT Chief Financial Officer will work with the IT Business Systems Analyst to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### 5-3 Essential Record Management Plan

NDOT

Continuity of Operations Plan

Annex F: Controller Division

NDOT Chief Financial Officer will work with the IT Business Systems Analyst to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safeguarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

**APPENDIX 6: EQUIPMENT and RESOURCES**

6-1 Financial Resources and Budgeting

NDOT Chief Financial Officer will work with the NDOT to identify appropriate financial resources to support continuity operations.

6-2 Equipment and Resources Identified to Support Continuity Operations

- 27 Laptop
- 27 Monitors
- 27 VPN Access
- 5 Wi-Fi hotspots

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List. (BTSD maintains inventory)*

6-3 Drive-Away Kits Supporting Controller Division

N/A, see above 6-2.

6-4 Equipment Cache(s) Supporting Controller Division

N/A

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**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

7-1 Communications Capabilities Requirements –  
**See Appendix 6-2 for communication and equipment requirements. BSTD and Operations maintain inventory.**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, VPN access, Wi-Fi, fax machines) and devices (e.g., cell phone, desk phone) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex F-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

7-2 Communications Capabilities & Equipment Inventory List Guidance  
**See Appendix 6-2 for communication and equipment requirements. BSTD and Operations maintain inventory.**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each

essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

Computer Asset Inventory Tab - BTSD maintains inventory

Phones Inventory Tab –Operations maintains inventory

Printer Inventory Tab –BTSD maintains inventory

Scanner Fax Inventory Tab –BTSD maintains inventory

### 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT IT Business Systems Analyst will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Aaron Teachout	Chief Financial Officer	402-479-4635	248-872-9431		Aaron.Teachout@nebraska.gov
Jenessa Boynton	Hwy Budget & Finance Manager	402-479-4691	402-730-1236		Jenessa.E.Boynton@nebraska.gov
Connie Heiser	Accountant III	402-479-4816	402-580-0270	402-486-0503	Connie.Heiser@nebraska.gov
Liza Alderman	Budget Analyst	402-479-4692	531-207-8971		Liza.Alderman@nebraska.gov
Chad Walford	Accountant III	402-479-3551	308-379-7791		Chad.Walford@nebraska.gov
James Busing	Accountant III	402-479-3939	402-300-1138		James.Busing@nebraska.gov
Denise Rice	Accounting Costs Manager	402-479-4814	402-470-1210		Denise.Rice@nebrask.gov
Gerry Neeman	Federal Aid Administrator III	402-479-4402	402-416-6203	402-423-4469	Gerry.Neeman@nebraska.gov
Mary Lou Bohuslavsky	Accountant II	402-479-4305	402-525-5019		Marylou.Bohuslavsky@nebraska.gov
Marsha Sand	Accountant III	402-479-4604	402-269-5051	402-269-3118	Marsha.Sand@nebraska.gov
Rhonda Nimmich	Accountant III	402-479-3528	402-890-0728		Rhonda.Nimmich@nebraska.gov

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Annex F: Controller Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Valda Opp	Accountant II	402-479-4661	402-525-5084	402-486-9321	Valda.Opp@nebraska.gov
Jacob Clinchard	Student Work Study	402-479-4627		402-802-4872	Jacob.Clinchard@nebraska.gov
JeanE. Plihal	Accounting Costs Manager	402-479-4811	402-520-2008	402-645-8225	Jeane.Plihal@nebraska.gov
Teri King	Accounting and Finance Manager	402-479-4810	402-450-6648		Teri.King@nebraska.gov
Vacant	IT Business Systems Analyst	402-479-4698			
Natalie E. Johnson	Accountant III	402-479-4808	402-570-2172		Natalie.E.Johnson@nebraska.gov
Linda Soulliere	Accountant I	402-479-4818	402-429-0763	402-466-8086	Linda.Soulliere@nebraska.gov
Laurie Burling	Accountant I	402-479-4813	402-499-4422		Laurie.Burling@nebraska.gov
Susan Wenzl	Accountant I	402-479-4653	402-540-4047		Susan.Wenzl@nebraska.gov
Sue Wurster	Accountant I	402-479-4635	402-499-5022		Susan.Wurster@nebraska.gov
Tamara Applebee	Hwy Audit Manager	402-479-3179	402-430-4574		Tamara.Applebee@nebraska.gov
Helene Baustian	Auditor Senior	402-479-4403	402-305-4304		Helene.Baustiannebraska.gov
Crispin Mayers	Auditor Senior	402-479-4406	402-309-5581		Crispin.Mayers@nebraska.gov

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Annex F: Controller Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Erik Long	Auditor Senior	402-479-4561	308-293-5691		Erik.Long@nebraska.gov

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# CONTINUITY OF OPERATIONS PLAN

## Annex G: Human Resources Division

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex G: Human Resources Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**Mission-Essential Function Objective**

Coordinating policies and procedures in the maintenance of the NDOT automated payroll system. Mission-Essential Function Priority.

***One-day, One-Week, and One-Month Mission-Essential Functions***

Item	HUMAN RESOURCES DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, labor contract, and Department policies.
	Coordinating policies and procedures in the maintenance of the NDOT automated payroll system.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Coordinating the Drug and Alcohol Testing program
	Coordinating Department Safety Program
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, EAP and Flexible Spending programs per the State of Nebraska policies and procedures and federal laws.
	Oversight and maintenance of Employee Performance System; Providing advice, technical assistance and recommendations to managers and supervisors concerning employee performance issues.
	Managing and Investigating internal complaints of alleged workplace harassment and formal charges of alleged discrimination, employee grievance issues, NEOC complaints; developing, recommending, and implementing plans for appropriate corrective action; requests for ADA accommodations

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	Coordinating/managing the Department recruitment, and selection programs; classification program; ensuring the processes provide all applicants with a fair and equal opportunity to apply and compete for all jobs. Ensure adherence to applicable policies, procedures, labor contracts and state and federal laws and regulations.
	Manage NDOT Training and Development programs

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Human Resources Division	Coordinating policies and procedures in the maintenance of the NDOT automated payroll system.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
Human Resources Division	Administering state and Department Human Resources policies, including the Department Human Resources Policies and Procedures Manual, rules and regulations, the labor contract, state and federal statutes, and regulatory agency guidelines.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
Human Resources Division	Coordinating the Drug and Alcohol Testing program	HR Administrator/Division Head (1) Personnel Manager II (1) Personnel Manager I (1) Personnel Officer (1) Designated Employer-Representative (DER) (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory



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Annex G: Human Resources Division

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Human Resources Division	Coordinating Department Safety Program	HR Administrator/Division Head (1) Personnel Manager II (1) Safety Specialist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Month Mission-Essential Functions</b>			
Human Resources Division	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, EAP and Flexible Spending programs per the State of Nebraska policies and procedures and federal laws.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (1) Personnel Assistants (3)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
Human Resources Division	Oversight and maintenance of Employee Performance System; Providing advice, technical assistance and recommendations to managers and supervisors concerning employee performance issues.	HR Administrator/Division Head (1) Personnel Manager II (1) Personnel Manager I (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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Annex G: Human Resources Division

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Human Resources Division	Managing and Investigating internal complaints of alleged workplace harassment and formal charges of alleged discrimination, employee grievance issues, NEOC complaints; developing, recommending, and implementing plans for appropriate corrective action; requests for ADA accommodations	HR Administrator/Division Head (1) Personnel Manager I (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
Human Resources Division	Coordinating/managing the Department recruitment, and selection programs; classification program; ensuring the processes provide all applicants with a fair and equal opportunity to apply and compete for all jobs. Ensure adherence to applicable policies, procedures, labor contracts and state	HR Administrator/Division Head (1) Personnel Manager II (1) Personnel Manager I (1) Personnel Officers (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
Human Resources Division	Manage NDOT Training and Development programs	HR Administrator/Division Head (1) Personnel Manager II (1) Training Coordinator (1) Training Specialist (3)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

**Mission-Essential Function Procedures**

<Identify

**Mission-Essential Function Partners and Interdependencies**

<Identify

A. NDOT Internal Partners

- Human Resources Administrator provides human resources support to all Divisions and Districts for centralized issues such as leave, discipline, etc.

B. Federal Partners

C. State of Nebraska Partners

D. External Partners

E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Human Resources Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Human Resources Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Human Resources Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Human Resources Administrator will be directed by the Human Resource Administrator Division Head after the NDOT Director makes the determination to activate continuity operations. Human Resource Administrator Division Head will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Human Resources Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Human Resources Division ERG Team** is derived from the following job titles and functions:

- A. Leadership Titles
  - Human Resources Administrator
  - Personnel Managers I and II (6)
  - Training and Development Manager
- B. Staff Titles
  - **See Table 1 below.**

**NDOT Annex G-Appendix 2 Table 1: Human Resources Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Rachelle Van Cleave <i>Human Resources Administrator</i>	ERG Chief	Administer state and department rules/policies, labor contract, state and federal statutes, and regulatory agency guidelines.
Allison Smith <i>Personnel Manager II</i>	ERG Member	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, EAP and Flexible Spending programs per the State of Nebraska policies and procedures and federal laws. Coordinating the Drug and Alcohol Testing program
Carrie Williams <i>Personnel Manager II</i>	ERG Member	Coordinating/managing the Department recruitment, and selection programs; classification program; ensuring the processes provide all applicants with a fair and equal opportunity to apply and compete for all jobs. Ensure adherence to applicable policies, procedures, labor contracts and state and federal laws and regulations.  Coordinating Department Safety Program  Oversight and maintenance of Employee Performance System; Providing advice, technical assistance and recommendations to managers and supervisors concerning employee performance issues.

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<p>Gerri Waechter <i>Personnel Manager I</i></p>	<p>ERG Member</p>	<p>Coordinating/managing the Department recruitment, and selection programs; classification program; ensuring the processes provide all applicants with a fair and equal opportunity to apply and compete for all jobs. Ensure adherence to applicable policies, procedures, labor contracts and state and federal laws and regulations.</p>
<p>Bil Roby Tubach <i>Personnel Manager I</i></p>	<p>ERG Member</p>	<p>Managing and Investigating internal complaints of alleged workplace harassment and formal charges of alleged discrimination, employee grievance issues, NEOC complaints; developing, recommending, and implementing plans for appropriate corrective action; requests for ADA accommodations</p>
<p>Todd Ludwig <i>Personnel Manager I</i></p>	<p>ERG Member</p>	<p>Oversight and maintenance of Employee Performance System; Providing advice, technical assistance and recommendations to managers and supervisors concerning employee performance issues.</p>
<p>Carlo Campana <i>Personnel Assistant</i></p>	<p>CST Member</p>	
<p>Jana Hoppe <i>Training Coordinator</i></p>	<p>CST Member</p>	
<p>Craig Worley <i>Training Specialist I</i></p>	<p>CST Member</p>	
<p>Dawn LeBay <i>Training Specialist I</i></p>	<p>CST Member</p>	

- <i>Training Specialist I</i>	CST Member	
Linda Lange <i>Personnel Officer</i>	CST Member	
Scott Spencer <i>Personnel Manager I</i>	CST Member	
Geri De Groff <i>Personnel Assistant</i>	CST Member	
Kelyn Watson <i>Personnel Assistant</i>	CST Member	
Katherine Ortiz <i>Personnel Officer</i>	CST Member	
Todd Ludwig <i>Personnel Officer</i>	CST Member	
Michael Palmer <i>Safety Specialist</i>	CST Member	



**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Human Resources Division**

*NDOT Annex G-Appendix 3 Table 1: Orders of Succession*

<b>Human Resources Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Human Resources Administrator,	Barb McIntyre
<b>2nd Order</b>	Personnel Manager II	Carrie Williams
<b>3rd Order</b>	Personnel Manager II	Diane Holthus

**3-2 Delegation of Authority for NDOT.**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Human Resources Division  
1500 Highway 2  
Lincoln, NE 68509

### **4-2 Location of Alternate Facilities**

NDOT Human Resources Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the [alternate facility name] to serve as an alternate facility for continuity operations when the primary facility is unavailable.

[Alternate Facility Name]  
[Street Address]  
[City, State, Zip Code]

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Human Resources Division the alternate facility must provide at minimum:

- ADA Compliance
- Sufficient power/water and communications infrastructure

### **4-4 Alternate Facility Site Support Procedures**

None.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Human Resources Division**

- State Statutes
- Letters of Authority
- State of Nebraska Classified System Personnel Rules & Regulations
- Union contracts
- NDOT/Policies & Procedures
- Calling Tree Code Agencies Contact List
- Emergency Contact Roster
- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Human Resources Division**

- NAPE/AFSCME Agreement Pay Plan

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Human Resources Administrator will work with the NDOT to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Human Resources Administrator will work with the NDOT to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Human Resources Administrator will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- 4 Notepads
- 8 Pens
- 2 Boxes of Folders
- 1 Package of Post-it-Notes
- 1 Box of Envelopes
- 3 Reams of Paper
- 1 Box of Letterhead

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Human Resources Division**

None.

### **6-4 Equipment Cache(s) Supporting Human Resources Division**

None.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex G-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Personal Cell Phone	Alt Phone	Email
Sue Larson	Human Resource Administrator, Division Head	402-479-3643	(W) 402-326-2370 (P) 402-540-1925	n/a	<a href="mailto:Sue.larson@nebraska.gov">Sue.larson@nebraska.gov</a>
Diane Holthus	Personnel Manager I	402-479-4580	402-310-2496	n/a	<a href="mailto:Diane.holthus@nebraska.gov">Diane.holthus@nebraska.gov</a>
Carrie Williams	Personnel Manager II	402-479-4870	402-440-1998	n/a	<a href="mailto:Carrie.williams@nebraska.gov">Carrie.williams@nebraska.gov</a>
Geri Waechter	Personnel Manager I	402-479-4577	402-890-4292	402-794-4096	<a href="mailto:Geri.waechter@nebraska.gov">Geri.waechter@nebraska.gov</a>
Bil Roby-Tubach	Personnel Manager I	402-479-4643	402-429-2583	n/a	<a href="mailto:Bil.rob-tubach@nebraska.gov">Bil.rob-tubach@nebraska.gov</a>
Rachelle VanCleave	Personnel Manager	402-479-4841	(W) 402-219-1073 (P) 531-220-1909	402-781-9094	<a href="mailto:Rachelle.vancleave@nebraska.gov">Rachelle.vancleave@nebraska.gov</a>
Carlo Campana	Personnel Assistant	402-479-3688	402-770-3592	n/a	<a href="mailto:Carlo.campana@nebraska.gov">Carlo.campana@nebraska.gov</a>
Denice Sears	Training Specialist I	402-479-3656	402-314-0076	402-797-2312	<a href="mailto:Denice.sears@nebraska.gov">Denice.sears@nebraska.gov</a>

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Annex G: Human Resources Division

Name	Title	Business Phone	Personal Cell Phone	Alt Phone	Email
Nate Meyer	Training Specialist I	402-479-3873	580-695-6223		<a href="mailto:Nathaniel.meyer@nebraska.gov">Nathaniel.meyer@nebraska.gov</a>
Linda Lange	Personnel Officer	402-479-3110	402-474-6915		<a href="mailto:Linda.lange@nebraska.gov">Linda.lange@nebraska.gov</a>
Scott Spencer	Personnel Manager I	402-479-4580	402-540-8940		<a href="mailto:Scott.spencer@nebraska.gov">Scott.spencer@nebraska.gov</a>
Kelyn Watson	Personnel Assistant	402-479-4575	402-601-3983		<a href="mailto:Kelyn.watson@nebraska.gov">Kelyn.watson@nebraska.gov</a>
Geri DeGross	Personnel Assistant	402-479-3527	402-612-0807		<a href="mailto:Geri.degross@nebraska.gov">Geri.degross@nebraska.gov</a>
Todd Ludwig	Personnel Officer	402-479-4581	312-848-2291		<a href="mailto:Todd.ludwig@nebraska.gov">Todd.ludwig@nebraska.gov</a>
Katherine Ortiz	Personnel Officer	402-479-4841	612-202-7906		<a href="mailto:Katherine.ortiz@nebraska.gov">Katherine.ortiz@nebraska.gov</a>
Rich Lindell	Safety Specialist	402-479-4588	360-301-1508		<a href="mailto:Richard.lindell@nebraska.gov">Richard.lindell@nebraska.gov</a>

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Annex G: Human Resources Division

[Month Year]

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex H: Local Assistance

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex H: Local Assistance**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

Establish priorities for an emergency to ensure that the COOP Emergency Relocation Group (ERG) for the Local Assistance Division can complete mission-essential functions that are critical to the overall operation of the Division and the that support emergency response efforts within the State of Nebraska and NDOT.

**1-2 Mission-Essential Function Priority**

Local Assistance Division Mission-Essential Functions
Mission-essential functions that must be performed – Day One
<ul style="list-style-type: none"> <li>• Implement Emergency Management Plan</li> <li>• Notify all Local Assistance Division staff with Plan</li> <li>• Checking access for network and requirement software and hardware</li> </ul>
Mission-essential functions that must be performed – First Week
<ul style="list-style-type: none"> <li>• Continue function under Day 1</li> <li>• Notify all partners of Emergency Plan and how to contact LAD Staff</li> <li>• Provide Division support for project and program delivery needs</li> <li>• Approve all consultant requests and payments to partners</li> <li>• Coordinate with railroad and transit system on needs, if applicable</li> <li>• Communicate plan with Program Management, Environmental, ROW and PS&amp;E on project and program delivery</li> </ul>
Mission-essential functions that must be performed – First Month
<ul style="list-style-type: none"> <li>• Continue function under First Week</li> <li>• Continue project and program delivery</li> <li>• Update local partners on emergency plan</li> <li>• Continue to provide support for locals, transit systems, railroads, etc.</li> </ul>

NDOT Local Assistance Division, Local Projects Engineer, Hwy Program Manager, Hwy Liaison Manager will implement Emergency Management Plan.

- Local Assistance Division Manager will coordinate with Local Agencies and Partner, including internal NDOT staff
- Local Projects Engineer will coordinate with Consultant and FHWA
- Hwy Program Manager will coordinate with Transit System
- Hwy Liaison Manager will coordinate with Railroad and Districts

**1-3 Mission-Essential Function Procedures**

Local Assistance Division will utilize manuals and SOP's developed by each Section

**1-4 Mission-Essential Function Partners and Interdependencies**

- A. NDOT Internal Partners
- B. Federal Partners
- C. State of Nebraska Partners
- D. External Partners
- E. Vendors

## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Local Assistance operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Local Assistance essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Local Assistance Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Local Assistance functions will be directed by the Local Assistance Division Head after the Director makes the determination to activate continuity operations. The Local Assistance Division Manager will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Local Assistance ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Local Assistance ERG Team** is derived from the following job titles and functions:

**NDOT Annex H-Appendix 2 Table 1: Local Assistance ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Jodi Gibson Local Assistance Division Manager	<b>ERG Chief</b>	Coordinate priorities with the Administration. Review and approve action items.
Jeff Soula Local Projects Engineer	ERG Member	Coordination for Local Projects, County, Municipalities and partner on program delivery.
Kari Ruse Hwy Program Manager	ERG Member	Coordinate and provide support to Local Transit Systems.
Travis Haberman Hwy Liaison Manager	ERG Member	Coordination with railroads and districts to insure continue connectivity is in place.



**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Local Assistance**

*NDOT Annex H-Appendix 3 Table 1: Orders of Succession*

Local Assistance		
Succession	Title	Name
<b>Primary</b>	Local Assistance Division Manager	Jodi Gibson
<b>1st Order</b>	Engineer V – Local Projects Engineer	Jeff Soula
<b>2nd Order</b>	Highway Programs Specialist	Kari Ruse
<b>3rd Order</b>	Engineer IV – Procurement Engineer	Nicole Taylor

**3-2 Delegation of Authority for Local Assistance ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Central Complex Materials and Research Building  
1400 Hwy. 2  
Lincoln, Nebraska 68502

### **4-2 Location of Alternate Facilities**

NDOT Local Assistance ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT employee's home or remote location that satisfies the continued operation of the Division. Depending on type of disaster the location will be determined at another time.

#### **Alternate Facility Site Support Requirements**

To adequately support Local Assistance the alternate facility must provide at minimum:

- ADA Compliance
- Sufficient power/water and communications infrastructure
- *Wifi and State of Nebraska network connectivity*

### **4-3 Alternate Facility Site Support Procedures**

Employees most likely will be working remotely from home and workspace needs at this point can be met.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Local Assistance**

- LPA Guidelines Manual
- SOP Manuals
- Contact Roster
- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Local Assistance**

- Local Assistance Division Network folder \\dotfs\\LocalAssistanceDivision
- Sharepoint
- OnBase

### **5-3 and Data During a Continuity Activation**

NDOT [Sr. Leader accountable for MEFs in this Annex] will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Local Assistance Division Manager will use OnBase to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Local Assistance Division Manager will use the Division budget to identify appropriate financial resources to support continuity operations. .

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- Laptop
- Wifi – hotspot
- Monitor
- Cell phone
- Internet
- VPN Service
- OCIO Servers

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Local Assistance**

N/A

### **6-4 Equipment Cache(s) Supporting Local Assistance**

All Local Assistance Division employees either currently have or will be issue the necessary equipment for the operations to continue in a remote location.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex H-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Jodi Gibson	Division Manager	402-479-4337	402-499-2722		<a href="mailto:Jodi.gibson@nebraska.gov">Jodi.gibson@nebraska.gov</a>
Jeff Soula	Local Project Engineer	402-479-3562			<a href="mailto:Jeff.soula@nebraska.gov">Jeff.soula@nebraska.gov</a>
Kari Ruse	Highway Program Manager	402-479-4694			<a href="mailto:Kari.ruse@nebraska.gov">Kari.ruse@nebraska.gov</a>
Nicole Jaber	Procurement Engineer	402-479-3859			<a href="mailto:Nicole.jaber@nebraska.gov">Nicole.jaber@nebraska.gov</a>
Travis Haberman	Hwy Liaison Manager	402-479-4515			<a href="mailto:Travis.haberman@nebraska.gov">Travis.haberman@nebraska.gov</a>

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex I: Materials & Research Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex I: Materials and Research Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

The Division Manager and the ERG shall ensure that mission-essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission-essential must be deferred until additional personnel and resources become available.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	OPERATIONS MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Account for all Division Personnel
	Secure lab areas due to potential hazardous material release
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	Review all <b>One Day</b> MEF's for completion
	Transport existing materials to adjacent NDOT labs or private labs
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	Review all Previous MEF's for completion
	Relocate personnel and needed resources to alternate location

**Table 2- Mission-Essential Functions**

ORGANIZATIONAL UNIT	MISSION-ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission-Essential Functions</b>			
M&R	1) Division Personnel Accountability	Division Head (1) Section Heads (6)	Phones, cell phones, email, fax, Computers/Laptops, printers Calling Tree – Division Contact rosters, state directory.

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NDOT

Annex I: Materials and Research Division

M&R	2) Secure lab areas due to potential hazardous material release	Division Head (1) Section Heads (6)	Phones, cell phones, email, fax, Computers/Laptops, printers  NDOT/Safety policies
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ORGANIZATIONAL UNIT	MISSION-ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Week Mission-Essential Functions</b>			
M&R	Review all One Day MEF's and continue uncompleted tasks	Division Head (1) Section Heads (6)	COOP Plan – MEF List
M&R	3) Transport existing materials to adjacent NDOT labs or private labs	Division Head (1) Section Heads (6) Ops Fleet Mngr (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
<b>30 Day Mission-Essential Functions</b>			
M&R	Review and continue uncompleted MEF tasks.	Operations Mgr. (2) TSMO Engineer (1)	COOP Plan –MEF List
M&R	4) Relocate personnel and needed resources to alternate location	Division Head (1) Section Heads (6)	Phones, cell phones, email, fax, Computers/Laptops, printers

See NDOT Continuity of Operations BASE Plan for the complete list of prioritized mission-essential functions.

**1-3 Mission-Essential Function Procedures**

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Annex I: Materials and Research Division

To ensure that the mission-essential functions referenced in Table 1 are effectively transferred to the alternate facility and continued with minimal interruption, it is imperative that each function have qualified staff member(s) assigned to it. The staff members assigned to complete the mission-essential functions will form the ERG. When identifying staff members to complete the mission-essential functions, the COOP planner should keep in mind limitations and considerations that might affect the number and position of ERG staff. For example, the number of individuals on the ERG may be limited due to the alternate facility resources and capacity. The same individual/position may be assigned several mission-essential functions. Care must be taken to ensure that each position/individual will have the training, skills, and time to complete all mission-essential functions they are assigned to.

Table 2 lists the mission-essential functions, assignments, and the resources, equipment, systems, or vital records needed to carry out each function. A robust description of the type, location, and redundancy of vital records and databases needed for carrying out each of the functions is listed in *Annex F Vital Records and Databases*.

#### 1-4 Mission-Essential Function Partners and Interdependencies

##### A. NDOT Internal Partners

- *Districts provide facilities and coordination for all M&R branch labs*
- *BTSD would need to provide IT support for office and lab equipment*
- *Operations would need to provide support for transporting materials to be tested.*

##### B. Federal Partners

- FHWA reviews and approves M&R processes including the Quality Assurance Program

##### C. State of Nebraska Partners

##### D. External Partners

- AGC coordinates materials being delivered from projects

##### E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Materials and Research Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Materials and Research Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Materials and Research Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Materials and Research Division will be directed by the M&R Division Head after the NDOT Director makes the determination to activate continuity operations. M&R Division Head will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Materials and Research Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Materials and Research Division ERG Team** is derived from the following job titles and functions: *<Information to complete this section can be found on the Business Process Analysis worksheet for each mission-essential function.>*

#### **A. Leadership Titles**

- Staff Titles

**NDOT Annex I Table 1: Materials and Research Division ERG Team**

<b>Name/Title</b>	<b>ERG Position</b>	<b>MEF Role/Responsibility</b>
Brandon Varilek <i>M&amp;R Division Head</i>	<b>ERG Chief</b>	Coordinate all highway material testing facilities and equipment.
Michelle (Shelly) Green <i>Exec. Administrator</i>	ERG Member	Coordinate all personnel, documents, and office equipment.
Mark Fischer <i>Research and Physical Test Engineer</i>	ERG Member	Coordinate all personnel, documents, and office equipment.
Nikolas Glennie <i>Geotech Engineer</i>	ERG Member	Coordinate all personnel, documents, and office equipment.

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Materials and Research Division**

*NDOT Annex I-Appendix 3 Table 1: Orders of Succession*

<b>Material and Research Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	M&R Division Head	Brandon Varilek
<b>1st Order</b>	Research and Physical Test Engineer	Mark Fischer
<b>2nd Order</b>	Geotech Engineer	Nikolas Glennie
<b>3rd Order</b>	Exec. Admin.	Shelly Green

**3-2 Delegation of Authority for Materials and Research Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

Central M&R Building  
1400 Building  
Lincoln, NE 68509

### **4-2 Location of Alternate Facilities**

NDOT Materials and Research Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the NDOT Branch Labs to serve as an alternate facility for continuity operations when the primary facility is unavailable.

Norfolk Branch Lab  
408 N 13<sup>th</sup> St  
Norfolk NE 68701

Grand Island Branch Lab  
211 N Tilden St  
Grand Island NE 68802

North Platte Branch Lab  
1321 N Jeffers St  
North Platte NE 69103

Omaha Branch Lab  
4425 S 108<sup>th</sup> St  
Omaha NE 68145

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Materials and Research Division the alternate facility must provide at minimum:

- Space for technicians and materials to be tested
- Lab equipment is already housed in these branch labs
- Additional space would be need for potential additional technicians
- ADA Compliance
- Sufficient power/water and communications infrastructure
- *Wifi and Network connections*

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NDOT

Annex I: Materials and Research Division

**4-4 Alternate Facility Site Support Procedures**

Branch labs already have lab equipment, but logistical changes would be needed to accommodate more materials.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Materials and Research Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- State Statues
- Letters of Authority
- NDOT Policies and Procedures
- State Directory
- Emergency Contact Roster

### **5-2 Essential Data Identified for Materials and Research Division**

- NAPE/AFSCME Agreement Pay Plan
- Approved Product, Qualified vendors, and material lists  
<https://dot.nebraska.gov/business-center/materials/approved-products/>  
<https://dot.nebraska.gov/business-center/materials/>
- Material Sampling Guide  
<https://dot.nebraska.gov/business-center/materials/sampling-guide/>
- OnBase records
- AASHTOWare records and software

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT M&R Division Head will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT M&R Division Head will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT M&R Division Head will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

Branch Labs have testing equipment and computers.

Division Head, Section Heads, and Exc. Secretary have laptops for remote access.

Some additional laptops would be needed for essential employees.

Hot Spots may be needed as well

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Materials and Research Division**

Branch Labs have testing equipment and computers.

Division Head, Section Heads, and Exc. Secretary have laptops for remote access.

### **6-4 Equipment Cache(s) Supporting Materials and Research Division**

Branch Labs have testing equipment and computers.

Division Head, Section Heads, and Exc. Secretary have laptops for remote access

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex I-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Brandon Varilek	M&R Division Head	402-479-4847			<a href="mailto:brandon.varilek@nebraska.gov">brandon.varilek@nebraska.gov</a>
Shelly Green	Exec. Admin	402-479-4750			<a href="mailto:Michelle.green@nebraska.gov">Michelle.green@nebraska.gov</a>
Mark Fischer	Research and Physical Test Engr.	402-479-3163			<a href="mailto:mark.fischer@nebraska.gov">mark.fischer@nebraska.gov</a>
Nikolas Glennie	Geotech Engr.	402-479-4752			<a href="mailto:Nikolas.glennie@nebraska.gov">Nikolas.glennie@nebraska.gov</a>

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DEPARTMENT OF TRANSPORTATION

# CONTINUITY OF OPERATIONS PLAN

## Annex J: Operations Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex J: Operations Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP (ERG)**

**APPENDIX 3: ORDERS of SUCCESSION & DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

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**APPENDIX 6: EQUIPMENT & RESOURCES**

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**DISTRICT TABS**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

Mission-Essential Function Objective

Coordinating Operations policies and procedures in accordance with agency directives to return to normal operations as quickly as possible.

Mission-Essential Function Priority

Table 1 One day, One Week, One Month MEF's

Item	Program Management DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Account for all Operations Division personnel
	Issuance of oversize/overweight permits
	Maintenance and monitoring of ITS assets
	Relocation/reestablishment of the Statewide Operations Center
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	Anything still outstanding from item 1 list
	Facility Maintenance provided support for relocation efforts
	Fleet support for operational equipment and vehicle needs
	Procurement support for continuity of operations for NDOT
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	Anything still outstanding from item 1 and/or 2 lists:
	Provide fuel procurement support
	Other additional items?

Table 2 Mission Essential Functions

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Operations Division	Account for all division personnel	Division Leadership	Cell phones, laptop, internet access
Operations Division	Issuance of oversize/overweight permits	Ann Nitzel Permits Manager (402) 469-0709	Cell phones, laptop, internet access

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Operations Division	Maintenance and monitoring of ITS assets	Scott Clinger Highway Electronics Manager (308) 631-2123	Cell phones, laptop, internet access
Operations Division	Relocation/Reestablishment of the Statewide Operations Center	Jennifer Hendrick (531) 225-3862 Jessica Sherwood (402) 430-4463	Cell phone, laptop, internet access
<b>One-Week Mission-Essential Functions</b>			
Operations Division	Any outstanding One-Day MEF's	As assigned	As assigned
Operations Division	Facility Maintenance provided support for relocation efforts	Mark Hamilton (402) 326-0351	Cell phone, laptop, internet access
Operations Division	Fleet support for operational vehicles and equipment needs	Dale Piening Fleet Manager (402) 326-4080	Cell phone, laptop, internet access
Operations Division	Procurement support for COOP	Rita Kucera (402) 479-4340	Cell phone, laptop, internet access
<b>One- Month Mission Essential Functions</b>			
Operations Division	Any outstanding One-Week MEF's	As assigned	As assigned
Operations Division	Provide Fuels procurement support	Darcy Brown Chris Cash (402) 405-1770	Cell phone, laptop, internet access

It is imperative to establish priorities before an emergency to ensure that the COOP Relocation

Team (ERG) for each division can complete mission-essential functions that are critical to the overall operation of the Operations and that support emergency response efforts within the State of Nebraska and NDOT.

The following process and criteria were used to identify mission-essential functions listed in Table 1 –

- Review all organizational functions
  - Statutes
    - Functions assigned by or implicit in law
  - Executive orders and directives
    - Functions assigned by the Governor or NDOT Director



- Functional surveys
- Functions vital to support of another agency's essential mission
- Mission statements
- Organization roles and responsibility documents
- Organization emergency personnel designations
- Determine criteria for selecting critical activities
- Identify mission-essential functions
- Prioritize those functions.
- Assign personnel responsible for those functions based on their skills and knowledge
- Determine requisite resources and equipment
- Identify critical data and connectivity issues.

#### Mission-Essential Function Procedures

The Operations Manager and the ERG shall ensure that mission-essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission-essential must be deferred until additional personnel and resources become available.

#### Mission-Essential Function Partners and Interdependencies

##### A. NDOT Internal Partners

- Work with each NDOT division and the districts for resource support.

##### B. Federal Partners

- FHWA
- FEMA

##### C. State of Nebraska Partners

- Nebraska DAS
- NEMA
- NSP

##### D. External Partners

- To Do List (city, counties, utilities...etc.)

##### E. Vendors

Operations leadership will determine based on type of disaster.

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Operations Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Operations Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Operations Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Operations Division functions will be directed by the Division Manager after the Director makes the determination to activate continuity operations. The Operations Manager will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Operations Division ERG Chief will contact essential staff (ERG/CST members) identified in this Annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Operations Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- Titles are listed in table 1.

#### **B. Staff Titles**

- Titles are listed in Table 1.

**NDOT Annex J-Appendix 2 Table 1: Operations Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Tom Renninger Operations Manager	ERG Chief	Implement Nebraska State Statutes & Succession of Authority & Jurisdiction. Delegate assignments related to MEF's
Michelle Weigel Asst. Operations Mgr.	ERG Member	Determine, Develop & coordinate customer request. (Agencies & Divisions). Prioritize and allocate resources.
TBA TSMO Manager	ERG Member	As assigned.
Jessica Sherwood Hwy Comm Manager	ERG Member	As assigned.
Josh Cowan Fac. Engineering Mgr.	ERG Member	As assigned.
Mark Hamilton Fac. Maintenance Mgr	ERG Member	As assigned.
Matt Wehrwein Facility Maintenance Sup	ERG Member	As assigned.
Gary Johnson Fac Construction Coord.	ERG Member	As assigned.

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Operations Division**

*NDOT Annex J-Appendix 3 Table 1: Orders of Succession*

<b>Operations Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Division Manager	Tom Renninger
<b>1st Order</b>	Hwy Comm. Services Manager	Jessica Sherwood
<b>2nd Order</b>	Asst. Division Manager	Michelle Weigel
<b>3rd Order</b>	TSMO Engineer	TBD

**3-2 Delegation of Authority for Operations**

The signed NDOT Delegation of Authority acknowledgement letter is maintained in Enclosure (2) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Operations  
5001 S 14<sup>th</sup> Street  
Lincoln NE

### **4-2 Location of Alternate Facilities**

NDOT Operations Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT Operations will identify an alternate facility after consultation with the CAT/NDOT Leadership to serve as a temporary facility for continuity operations when the primary facility is unavailable.

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Operations Division the alternate facility must provide at a minimum:

See: Facility Maintenance Manager

ADA Compliance: ex. adjustable computer stations

- Sufficient power/water and communications infrastructure

### **4-4 Alternate Facility Site Support Procedures**

Determination of support will be decided based on location and severity of the disaster.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Operations Division**

NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Operations Division**

No essential data is identified in this plan.

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Operations Division leadership accountable for MEFs in this Annex will work with the NDOT Highway Emergency Program Specialist to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Operations Division leadership accountable for MEFs in this Annex will work with the NDOT Highway Emergency Program Specialist to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Operations Division leadership accountable for MEFs in this Annex will work with the NDOT Controller Division to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

Equipment and Resources are identified by each Operations section.

### **6-3 Drive-Away Kits Supporting Operations Division**

Operations has no Drive-Away Kits.

### **6-4 Equipment Cache(s) Supporting Operations Division**

Operations equipment is located in the various buildings and response equipment in the Operation Response Trailer.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

#### **Computers:**

In an emergency, OCIO Site Support needs to be contacted as soon as possible to request emergency computers. They do not keep laptops ready to go for emergencies, however, they are always building new computers as a part of the computer replacement program and they could redirect some computers for a temporary situation. They will need this request to come from BTSD Division Head in order to expedite this process.

#### **Hot Spots:**

Most cell phones either already have built-in hotspots or can have that service added fairly quickly. In the case that an employee on the response team is without a phone and/or hotspot, BTSD should be contacted immediately and a request for a replacement phone should be made, and also for the fastest solution for a hotspot. The argument could be made that the Operations Division Head should have a separate Hot Spot at all times. He already has a Hot Spot built into his phone, however, an independent Hot Spot can more reliably handle more connections. In a State of Emergency, the Hot Spot could be used for the 8 computers requested here.

#### **Smartphones:**

Replacement smartphones for emergency responders can be acquired in fairly short order through BTSD. Regular communications should be made with BTSD management to verify what options can be available on short notice in an emergency.

#### **Printers:**

Individual printers are going away in favor of "Leased Printers". This will take some time to implement (several years), but if having an emergency printer is required/desired, there are "portable printers" that can be purchased ahead of time. However, OCIO Site Support will be required to install the printer on each computer that it is needed for when the time comes.

## 7-2 Communications Capabilities & Equipment Inventory List Guidance

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential

NDOT

Continuity of Operations Plan Annex J: Operations Division

functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

**Additional Equipment Resources Tab**

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

**7-3 Maintaining Communications Capabilities & Equipment Inventory Lists**

NDOT Senior Leader accountable for this Annex will maintain any future Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

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**APPENDIX 8: OPERATIONS ERG CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Email
Tom Renninger	Operations Manager	(402) 479-4339	(402) 540-1332	tom.renninger@nebraska.gov
Michelle Weigel	Operations Assistant Manager	(402) 479-4787	(402) 440-1933	michelle.weigel@nebraska.gov
TBA	TSMO Manager	(402) 479-4771	(402) 429-2406	xxxxxxxxxx@nebraska.gov
Jessica Sherwood	Hwy Comm. Services Manager	(402) 479-3875	(402) 430-4463	jessica.sherwood@nebraska.gov
Mark Hamilton	Facility Maintenance Manager	(402) 479-4882	(402) 326-0351	mark.hamilton@nebraska.gov
Josh Cowan	Facilities Engineering Manager	(402) 479-3746	(531) 500-7894	joshua.cowan@nebraska.gov
Matt Wehrwein	Facility Maintenance Supervisor	(402) 479-4563	(402) 430-1006	matt.wehrwein@nebraska.gov
Gary Johnson	Facilities Construction Coordinator	(402) 479-4620	(402) 416-0086	gary.johnson@nebraska.gov

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## ***TAB A – District 1***

### **A-1: EMERGENCY RELOCATION GROUP**

This TAB identifies MEFs, essential staff and their assigned responsibilities, and information specific to the District 1 business unit within NDOT.

District 1 Mission-Essential Function:

1. List MEFs. Table 2 and Table 3.

#### **A1-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Annex 10 Annex and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

#### **A1-2 Notification Procedures**

Activation of District 1 Mission Essential Functions will be directed by the District 1 ERG Chief when activated by NDOT Leadership after the Governor orders the activation of the Continuity of Operations Plan. Essential staff identified to support District 1 will follow the alert and notification procedures outlined in Section VI of the NDOT Continuity of Operations Base Plan.

##### **ERG Chief Responsibilities**

When ordered to activate, the District 1 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 1 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

**A1-3 Emergency Relocation Group Members**

The District 1 ERG team is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM - 1
  - DOMM Center Staff Assistant II – 1
  - District Construction Engineer – 1
  - District Mechanic – 1
  - Administrative Assistant - 1
- B. Staff Titles
  - ROW Permit Officer – 1
  - Staff Assistant – 2
  - IT Support - 2

**Table 1: District 1 ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Robert Rankin DOMM	ERG Chief	Coordinate functional operations of the district
Katy Ambriz Staff Assistant II	ERG Member	Coordinate the operations of the District DOMM Center
Curt Mueting Construction Engineer	ERG Member	Coordinate district construction activities
Doug Shultz District Mechanic	ERG Member	Coordinate district equipment
Penny Clark Administrative Assistant	ERG Member	Coordinate district administrative activities

**A-1: ALTERNATE FACILITY**

**A1-4 Primary Facility**

NDOT District 1 Headquarter  
302 Superior St., Lincoln, NE 68521

**A1-5 Location of Alternate Facilities**

The ERG Chief for the District 1 will direct essential staff where and when to report once activated for continuity operations.

The ERG Chief will coordinate all internal/external communications functions with staff working at an alternate facility and staff approved to support District 1 functions remotely using telework procedures.

NDOT District 1 has identified the Greenwood, Palmyra and Seward



Maintenance Yards to serve as an alternate facility for continuity operations when the primary facility is unavailable.

Greenwood Maintenance Yard – 12909 238<sup>th</sup> St. Greenwood NE 68366

Palmyra Maintenance Yard – 510 F Road (Hwy 2) Palmyra NE 68418

Seward Maintenance Yard – 2500 S Highway 15 Seward NE 68434

**TAB A-1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**A1-6 Mission-Essential Function Objective**

Functions needed to return to normal operations as soon as possible.

**A1-7 Mission-Essential Function Priority**

**Table 2. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 1 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b><u>One Day</u></b> disruption. (From highest priority to lowest.)
	Administering and managing activities, operations and programs assigned to the district. Keep communication lines open to the rest of the District.
	Coordinating functional operations within the district. Working closely with local Supervisors. The affected area and the relocation area.
	Work with the rest of the shops in District 1.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b><u>One Week</u></b> . (From highest priority to lowest.)
	Continue all functions listed under Number 1.
	Maintaining liaison between the Department and contractors, utilities, cities, counties and the general public and all other State Agencies.
	Coordinating functional operations within the district. Working closely with local Supervisors. The affected area and the relocation area.
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b><u>One Month</u></b> . (From highest priority to lowest.)
	Continue all functions listed under Number 1 and Number 2.
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.
	Providing normal highway maintenance. Providing emergency maintenance as needed.

	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Issuing or recommending miscellaneous permits as necessary.

## A1-8 Mission-Essential Function Assignments

**Table 3- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 1	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) District Mechanic (1) Admin Assist(1) Staff Assistant II	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List State Directory
District 1	Coordinating functional operations within the District.	District Engineer (1) DOMM (1) DCE (1) District Mechanic (1) Admin Assist(1) Staff Assistant II	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
District 1	Maintain and work with the District personnel in all areas of Maintenance & Construction.	DOMM (1) DCE (1) District Mechanic (1) Admin Assist(1) Staff Assistant II	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory
District 1	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (2) Staff Assist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List State Directory

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB A: District 1

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 1	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Maintenance Superintendent (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory
District 1	Winter operations	DOMM (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory
District 1	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	Maintenance Superintendent (1) Maintenance Supervisor (1) Electronics Technician (2) Staff Assist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory
District 1	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DOMM (1) DCE (1) ADCE (1) Admin Assist(1) Project Managers (3) Staff Assist (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory
<b>One-Month Mission-Essential Functions</b>			
District 1	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers Contact List State Directory

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB A: District 1

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 1	Providing normal highway maintenance. Providing emergency maintenance as needed.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List  State Directory
District 1	Responding to and coordinating with state and local agencies on traffic incident management.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List  State Directory
District 1	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List  State Directory
District 1	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW Permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Contact List  State Directory

**A-1: ORDERS OF SUCCESSION**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

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**A1-9 Leadership Succession for District 1**

*Table 4: District 1 Orders of Succession*

<b>NDOT District 1 – ERG Chief</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District Engineer District 1	Tom Goodbarn
<b>1st Order</b>	District Construction Engineer	Curt Muetting
<b>2nd Order</b>	District Operations Maintenance Manager	Robert Rankin
<b>3rd Order</b>	Assistant District Construction Engineer	Jared Kreher

**A-1: DELEGATION OF AUTHORITY**

**A1-10 Delegation of Authority for District 1**

No Delegation of Authority is needed. Follow Orders of Succession.

**A-1: ESSENTIAL RECORDS AND RESOURCES**

**A1-11 Essential Records Identified for District 1 Support**

**A1-12 Access to Essential Records and Data During a Continuity Activation**

**A1-13 Financial Resources and Budgeting**

To be determined.

**A1-14 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

To be determined.

**A-1: DRIVE-AWAY KITS / EQUIPMENT CACHES**

**A1-15 Drive-Away Kits Supporting [Tab Name] Functions**

To be determined based on type of disaster and circumstances.

**A1-16 Equipment Cache(s) Supporting [Tab Name] Functions**

To be determined based on type of disaster and circumstances.

**A-1: CONTINUITY COMMUNICATIONS**

**A1-17 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing [Tab functions] during a continuity event.

**Table 5: District 1 Communications Capabilities**

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

**A-1: SITE SUPPORT PROCEDURES**

**A1-18 Alternate Facility Site Support Procedures**

Determined when Alternate Facility is selected.

**A-1: Contact Roster**

**A1-19 District 1 Contact Roster**

**Table 6. Staff Roster**

NAME	TITLE/AREA OF	COOP ROLE		OFFICE PHONE	HOME PHONE	MOBILE
		CST	ERG			
Tom Goodbarn	District Engineer		X	471-0850 EXT 1001	n/a	402-430-7897
Curt Mueting	District Construction Engineer		X	471-0850 EXT 1075	402-328-2937	402-499-1640
Robert (Bob) Rankin	District Operations & Maintenance Manager		X	471-4580 EXT 1225	402-440-2425	402-326-0919 416-0598
Jared Kreher	Assistant Construction Engineer		X	471-0850 EXT 1082		402-416-0598 531-207-9077
Doug Shultz	District Mechanic		X	471-0850 EXT 1298	402-665-2013	402-890-4292
Jeff Havlat	Superintendent		X	471-0850 EXT 1151	402-525-2065	402-525-2250
Todd Cecrle	Superintendent		X	471-0850 EXT 1201	402-641-3448	402-326-0918
Janie Vrtiska	Superintendent		X	471-0850 EXT 1139	402-471-2631	402-326-0920
Penny Clark	Administrative Assistant	X		471-0850 EXT 1002	n/a	n/a
Kathryn(Katy) Ambriz	Staff Assistant II		X	471-0850 EXT 1488	402-570-5394	402-416-2730
Jeff Oehm	Supervisor		X	471-0850 EXT 1130	402-429-5580	402-405-5349

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Annex 10: Operations Division

TAB A: District 1

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NAME	TITLE/AREA OF	COOP ROLE		OFFICE PHONE	HOME PHONE	MOBILE
		CST	ERG			
Dallas Hayes	Supervisor		X	471-0850 EXT 1005	308-340-3349	402-239-2330

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INSERT TAB



**TAB B-1 – District 2**

**TAB B-1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**TAB B-1: 1 Mission-Essential Function Objective**

Functions needed to return to normal operations as soon as possible.

**TAB B-1: 2 Mission-Essential Function Priority**

**Table 2. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 2 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Administering and managing activities, operations and programs assigned to the district.
	Coordinating functional operations within the district.
	Maintain and operate a District Operations Center and associated intelligent transportation devices.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies
	Provide normal highway maintenance. Coordinate traffic incident management.
	Winter operations.
	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.
	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.
3	Mission-essential functions that must be performed given a disruption of greater than OneWeek, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.

Continuity of Operations Plan

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Annex J: Operations Division

TAB B-1: District 2

	Providing normal highway maintenance. Providing emergency maintenance as needed.
	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.
	Issuing or recommending miscellaneous permits as necessary.

**B3-3 Mission-Essential Function Assignments**

*Table 3 - Mission Essential Functions*

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 2	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 2	Coordinating functional operations within the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
District 2	Maintain and operate a District Operations Center and associated intelligent transportation devices.	Operations Center Manager(1) Electronics Technician (2) Traffic Management Operator (3)	Phones, cell phones, email, fax, Computers/Laptops, printers Required Technical equipment  Calling Tree – Code Agencies
District 2	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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TAB B-1: District 2

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 2	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Operations Center Manager(1) Maintenance Superintendent (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 2	Winter operations	DOMM (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 2	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	Maintenance Superintendent (1) Maintenance Supervisor (1) Electronics Technician (2) Staff Assist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 2	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DOMM (1) DCE (1) ADCE (1) Admin Assist(1) Project Managers (3) Staff Assist (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
<b>One-Month Mission-Essential Functions</b>			
District 2	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

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Annex J: Operations Division

TAB B-1: District 2

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 2	Providing normal highway maintenance. Providing emergency maintenance as needed.	Maintenance Superintendent (1) Maintenance Supervisor (1) Operations Center Manager(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 2	Responding to and coordinating with state and local agencies on traffic incident management.	Maintenance Superintendent (1) Maintenance Supervisor (1) Operations Center Manager(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 2	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanic (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 2	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 2	Providing maintenance and repair services for equipment and buildings	Maintenance Superintendent (1) District Mechanic Supervisor (1) Mechanic (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Mechanic repair Tools  Calling Tree – Code Agencies Contact List  State Directory

See *Error! Reference source not found.*

**TAB B-1: 3 Mission-Essential Function Procedures**

**TAB B-1: 4 Mission-Essential Function Partners and Interdependencies**

No partners or interdependencies are used by the district.

See *Error! Reference source not found.*



## **TAB B-1: EMERGENCY RELOCATION GROUP**

### **TAB B-1: 5 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of District 2 continuity plan and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support District 2 operations.
- Develop, compile, and maintain updated standard operating procedures to support District 2 operations.

See *Error! Reference source not found.*

### **TAB B-1: 6 Notification Procedures**

Activation of District 2 functions will be directed by the District 2 ERG Chief after the NDOT Director makes the determination to activate continuity operations. District 2 ERG Chief will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations Base Plan.

See *Error! Reference source not found.*

### **TAB B-1: 7 ERG Chief Responsibilities**

When ordered to activate, the NDOT District 2 ERG Chief will contact essential staff (ERG/CST members) identified in this TAB to inform them of the current situation and activation of continuity operations.

### **TAB B-1: 8 Emergency Relocation Group Members**

The ***District 2 ERG Team*** is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM -1
  - District Operations Center Manager- 1
  - Administrative Assistant 1- 1
  - Assistant District Construction Engineer
- B. Staff Titles
  - Office Specialist -1
  - ROW Permit Officer
  - IT Support- 1

***NDOT Annex J-TAB B-1 Table 1: District 2 ERG Team***

Name/Title	ERG Position	MEF Role/Responsibility
------------	--------------	-------------------------

Jim Laughlin <i>DOMM</i>	<b>ERG Chief</b>	Coordinate functional operations of the district.
Jennifer Hendrick <i>State Operations Center Manager</i>	ERG Member	Coordinate the operations of the district operations center
Maurice Hinchey <i>Assist Construction Engineer</i>	ERG Member	Coordinate district construction activities.
Natalie Clark <i>Administrative Assistant</i>	ERG Member	Coordinate district administrative activities
Barbara Gerbino-Bevins <i>District Construction Engineer</i>	ERG Member	
Tim Weander <i>District Engineer District 2</i>	ERG Member	

**TAB B-1: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

See *Error! Reference source not found.*

**TAB B-1: 9 Leadership Succession for District 2**

*NDOT Annex J-TAB B-1 Table 1: Orders of Succession*

<b>District 2</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District Engineer District 2	Tim Weander
<b>1st Order</b>	District Construction Engineer	Barbara Gerbino-Bevins
<b>2nd Order</b>	District Operations Maintenance Manager	Jim Laughlin
<b>3rd Order</b>	Assistant District Construction Engineer	Maurice Hinchey

**TAB B-1: 10 Delegation of Authority for District 2**

The signed Delegation of Authority Letter for the District 2 ERG Chief is maintained in

## **TAB B-1: ALTERNATE FACILITY**

### **TAB B-1: 11 Primary Facility**

NDOT District 2 Headquarters  
4425th 108<sup>th</sup> Street Omaha NE 68137

### **TAB B-1: 12 Location of Alternate Facilities**

The District 2 ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT District 2 has identified the Melia Hill and Elkhorn Maintenance Yards to serve as an alternate facilities for continuity operations when the primary facility is unavailable. The Operations Center will move to the State Operations Center.

Melia Hill Maintenance Yard 15525 S 234<sup>th</sup> Street Gretna NE 68028  
Elkhorn Maintenance Yard 2829 N 204<sup>th</sup> Street Elkhorn NE 68022  
[SOC 5001 S 14<sup>th</sup> Street Lincoln NE 68509

### **TAB B-1: 13 Alternate Facility Requirements**

**<Information in this section should detail all the requirements for a space to adequately support the staff and customers for each mission-essential function identified in this TAB.**

**This information is used to identify an alternate facility if for any reason the existing alternate facility is unavailable at the time of the continuity activation or any time when a new alternate facility must be established.**

**Information for this section can be located on the Business Process Analysis worksheet for each mission-essential function. Additional information may be contained in the alternate facility memorandum of agreement signed by the agency.>**

See *Error! Reference source not found.*

### **TAB B-1: 14 Alternate Facility Site Support Procedures**

To be determined based on decision of alternate location.

See *Error! Reference source not found.*

## **TAB B-1: ESSENTIAL RECORDS and DATA**

### **TAB B-1: 15 Essential Records Identified for District 2**

**<Identify the essential records identified to support the Business Unit/Functional Area for this TAB. If the Essential Records are the same as the Annex, then simply add a cross-reference link to that section of the annex.**

See *Error! Reference source not found.*

**For both electronic and printed documents identify the title of the document and where**

the document is maintained. Example: *Legal Case Filing Standard Operation Procedure Manual, (web-site URL)*

For electronic files include the network path, folder name, sub-folder name(s), and file name. You may include a hyperlink or description of where to access files on the agency website or internal SharePoint site.

For printed documents, such as working case files or archive files identify where the document is stored and any requirements for accessing files stored in locked rooms or filing cabinets.

Information of this section can be found on the Business Process Analysis worksheet for each mission-essential function or from surveying the essential-staff identified in this annex.>

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>

### **TAB B-1: 16 Essential Data Identified for District 2**

<Identify the essential data to support the Business Unit/Functional Area for this TAB. If the Essential Records are the same as the Annex, then simply add a cross-reference link to that section of the annex.

See *Error! Reference source not found.*

You may choose to reference the agency's DR Plan for the applications/databases if one exists.

For electronic files include the network path, folder name, sub-folder name(s), and file name. You may include a hyperlink or description of where to access files on the agency website or internal SharePoint site.

Information of this section can be found on the Business Process Analysis worksheet for each mission-essential function or from surveying the essential-staff identified in this annex.>

### **TAB B-1: 17 Access to Essential Records and Data During a Continuity Activation**

See *Error! Reference source not found.*

### **TAB B-1: 18 Essential Records and Data Management Plan**

See *Error! Reference source not found.*

## **TAB B-1: EQUIPMENT and RESOURCES**

### **TAB B-1: 19 Financial Resources and Budgeting**

See *Error! Reference source not found.*

### **TAB B-1: 20 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions

NDOT  
include:

- [None Identified]

Add any equipment identified in this TAB to the master list maintained in Enclosure (7):  
Communications Capabilities and Equipment Master Inventory List.

**TAB B-1: 21 Drive-Away Kits Supporting District 2**

[TBD]

See *Error! Reference source not found.*

**TAB B-1: 22 Equipment Cache(s) Supporting District 2**

[TBD]

See *Error! Reference source not found.*

**TAB B-1: COMMUNICATIONS CAPABILITIES**

**TAB B-1: 23 Communications Capabilities Requirements**

See *Error! Reference source not found.*

Follow guidance provided in [Error! Reference source not found.](#)

District 2 Communications Capabilities		
Communication Capabilities	Quantity	Source
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
Applications	Quantity	Source
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

**TAB B-1: 24 Maintaining Communications Requirements Inventory** See *Error! Reference source not found.*

<Add additional TABs as needed.

Follow the [Error! Reference source not found.](#) for page spacing to maintain print operation.

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TAB B-1: District 2

**TAB B-1: 25 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Tim Weander	District Engineer District 2	(402) 595-2534			
Barbara Gerbino-Bevins	District Construction Engineer	402) 935-5402			
Jim Laughlin	DOMM	(402) 935-5403			
Maurice Hinchey	Assistant Construction Engineer	(402) 935- 5405			
Jennifer Hendrick	State Operations Center Manager	(402)331-5997			
Natalie Clark	Administrative Assistant	(402)935-5404			

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TAB B-1: District 2

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INSERT TAB



**TAB C-1 – District 3**

**TAB C-1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**TAB C-1: 1 Mission-Essential Function Objective**

<Add Mission-Essential Function Objective specific to the MEF for this TAB. You may copy the same mission-essential function objective already stated in the Annex Appendix 1 or add a cross-reference link to the bookmarked text located earlier in this document if the information is the same.>

See *Error! Reference source not found.*

**TAB C-1: 2 Mission-Essential Function Priority**

Item	DISTRICT 3 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, labor contract, and Department policies.
	Administering state and Department Human Resources policies, including the Department Human Resources Policies and Procedures Manual, rules and regulations, the labor contract, state and federal statutes, and regulatory agency guidelines.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Implementing and maintaining compensation changes.
	Coordinating injury leave and the supplementing of sick and/or vacation leave in
	Coordinating the Drug and Alcohol Testing program
	Coordinating the overall implementation, operation, and updating and maintenance of the Department automated payroll system and the Human Resources portion of
	Coordinating Department Safety Program
3	Mission-essential functions that must be performed given a disruption of greater than OneWeek, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>

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	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Establishing and maintaining personnel files, family medical leaves, catastrophic illness donations, and leaves of absence.
	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, EAP and Flexible Spending programs per the State of Nebraska policies and procedures and federal laws.
	Coordinating/managing the Department recruitment, and selection programs ensuring the processes provide all applicants with a fair and equal opportunity to apply and
	Coordinating the Department classification program, developing and recommending new policies and procedures, and representing the Department with DAS State Personnel, other governmental and public entities, and at hearings.

**Table 3 - Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Human Resources Division	Human Resources Division	Human Resources Division	Human Resources Division
Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, Labor contract, and Department policies.	Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, Labor contract, and Department policies.	Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, Labor contract, and Department policies.	Coordinating policies and procedures in the reporting of employees' time for hours worked and leaves in accordance with federal and state laws, Classified System Personnel Rules & Regulations, Labor contract, and Department policies.
<b>One-Week Mission-Essential Functions</b>			

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TAB C-1: District 3

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Human Resources Division	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (3)  Training & Development Manager (1)	Phones, cell phones, email, fax, Computers/Laptops, printers Calling Tree – Code Agencies Contact List State Directory	Human Resources Division
Human Resources Division	Human Resources Division	Human Resources Division	Human Resources Division
Coordinating injury leave and the supplementing of sick and/or vacation leave in accordance with workers	Coordinating injury leave and the supplementing of sick and/or vacation leave in accordance with workers compensation laws and findings, Classified System	Coordinating injury leave and the supplementing of sick and/or vacation leave in accordance with workers compensation laws and findings, Classified System	Coordinating injury leave and the supplementing of sick and/or vacation leave in accordance with workers compensation laws and findings, Classified System Personnel Rules & Regulations, and the labor contract. Oversight and management of FLSA
HR Administrator/Division Head (1)	HR Administrator/Division Head (1)	HR Administrator/Division Head (1)	HR Administrator/Division Head (1)
Personnel Manager II (2)	Personnel Manager II (2)	Personnel Manager II (2)	Personnel Manager II (2)
<b>One-Month Mission-Essential Functions</b>			
Human Resources Division	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, and Flexible Spending	HR Administrator/Division Head (1)  Personnel Manager II (2)  Personnel Manager I (3)  Personnel Officers (4)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

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TAB C-1: District 3

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Human Resources Division	Administering procedures for labor relations, disciplinary actions, grievance resolution, performance management, mediation, recruitment, classification and compensation, benefits, FLSA, EEO/AA/ADA/Diversity, safety, and training programs.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (3) Personnel Officers (4) Personnel Assistants (3) Training & Dev Mgr (1) Training Specialist (2) Safety Specialist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
Human Resources Division	Administering procedures for labor relations, disciplinary actions, grievance resolution, performance management, mediation, recruitment, classification and compensation, benefits, FLSA, EEO/AA/ADA/Diversity, safety, and training programs.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (3) Personnel Officers (4) Personnel Assistants (3) Training & Dev Mgr (1) Training Specialist (2) Safety Specialist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
Human Resources Division	Establishing and maintaining personnel files, family medical leaves, catastrophic illness donations, and leaves of absence.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (3) Personnel Officers (4) Personnel Assistants (3) Training & Dev Mgr (1) Training Specialist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
Human Resources Division	Coordinating and maintaining the health and life insurance, dental, vision, long-term disability, income protection, COBRA, EAP and Flexible Spending programs per the State of Nebraska policies and procedures and federal laws.	HR Administrator/Division Head (1) Personnel Manager II (2) Personnel Manager I (3) Personnel Officers (4) Personnel Assistants (3) Training & Dev Mgr (1) Training Specialist (2) Safety Specialist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

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**<Add Mission-Essential Function Priority for the above identified MEF for this TAB. You may copy the same mission-essential function priority statement from the Annex Appendix 1 or add a cross-reference link to the bookmarked text located earlier in this document if the information is the same.>**

See *Error! Reference source not found.*

### **TAB C-1: 3 Mission-Essential Function Procedures**

**<Add Mission-Essential Function Procedures for the above identified MEF for this TAB.>**

See *Error! Reference source not found.*

### **TAB C-1: 4 Mission-Essential Function Partners and Interdependencies**

**<Add Mission-Essential Function Partners and Interdependencies for the above identified MEF for this TAB. You may add a cross-reference link to the bookmarked text located earlier in this document if the information is the same.>**

See *Error! Reference source not found.*

## **TAB C-1: EMERGENCY RELOCATION GROUP**

### **TAB C-1: 5 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of District 3 continuity plan and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support District 3 operations.
- Develop, compile, and maintain updated standard operating procedures to support District 3 operations.

See *Error! Reference source not found.*

### **TAB C-1: 6 Notification Procedures**

Activation of District 3 functions will be directed by the District 3 ERG Chief after the NDOT Director makes the determination to activate continuity operations. District 3 ERG Chief will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations Base Plan.

See *Error! Reference source not found.*

### **TAB C-1: 7 ERG Chief Responsibilities**

Continuity of Operations Plan

NDOT

Annex J: Operations Division

TAB C-1: District 3

When ordered to activate, the NDOT District 3 ERG Chief will contact essential staff (ERG/CST members) identified in this TAB to inform them of the current situation and activation of continuity operations.

**TAB C-1: 8 Emergency Relocation Group Members**

***NDOT Annex J-TAB C-1 Table 1: District 3 ERG Team***

Name/Title	ERG Position	MEF Role/Responsibility
Tim Koenig <i>DOMM</i>	<b>ERG Chief</b>	Coordinate operations for the District
Rob Davis <i>DCE</i>	ERG Member	Coordinate operation for Construction Staff
Judy Schoenfeldt <i>Administrative Assistant</i>	CST Member	Coordinate Administrative Activities

**TAB C-1: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

See ***Error! Reference source not found.***



**TAB C-1: 9 Leadership Succession for District 3**

*NDOT Annex J-TAB C-1 Table 1: Orders of Succession*

<b>District 3</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District 3 Engineer	Kevin Domogalla
<b>1st Order</b>	District Construction Engineer	Rob Davis
<b>2nd Order</b>	District Operations & Maintenance Manager	Tim Koenig
<b>3rd Order</b>		

**TAB C-1: 10 Delegation of Authority for District 3**

The signed Delegation of Authority Letter for the District 3 ERG Chief is maintained in Enclosure (4) of the NDOT Continuity Plan.

**TAB C-1: ALTERNATE FACILITY**

**TAB C-1: 11 Primary Facility**

NDOT District 3  
408 N 13<sup>th</sup> Street  
Norfolk, NE 68701

**TAB C-1: 12 Location of Alternate Facilities**

The District 3 ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified their Norfolk North Yard to serve as an alternate facility for continuity operations when the primary facility is unavailable.

Norfolk North Maintenance,  
District Shop and Construction Yard  
1001 Alaska Ave.  
Norfolk NE

**TAB C-1: 13 Alternate Facility Requirements**

**<Information in this section should detail all the requirements for a space to adequately support the staff and customers for each mission-essential function identified in this TAB.**

**This information is used to identify an alternate facility if for any reason the existing alternate facility is unavailable at the time of the continuity activation or any time when a new alternate facility must be established.**

Information for this section can be located on the Business Process Analysis worksheet for each mission-essential function. Additional information may be contained in the alternate facility memorandum of agreement signed by the agency.>

See *Error! Reference source not found.*

#### **TAB C-1: 14 Alternate Facility Site Support Procedures**

<Identify the procedures required to prepare the workspace for staff specifically supporting the mission-essential functions identified in this TAB. If specific procedures are not necessary for this annex, then reference the procedures in Enclosure (3) of the agency's BASE Plan.

Site Support Procedures for accessing and preparing the agency's alternate facility for all agency staff across all mission-essential functions will be maintained in Enclosure (3) of the agency's BASE Plan. >

<This information is used to assist ERG Chiefs and essential-staff with establishing their temporary workspace to be perform mission-essential functions. Example: A diagram of the facility with rooms highlighted where staff will work, or a diagram of how to arrange tables and chairs to form work stations.

Information for this section is developed by the agency based on their alternate facility agreement.>

See *Error! Reference source not found.*

### **TAB C-1: ESSENTIAL RECORDS and DATA**

#### **TAB C-1: 15 Essential Records Identified for District 3**

<Identify the essential records identified to support the Business Unit/Functional Area for this TAB. If the Essential Records are the same as the Annex, then simply add a cross-reference link to that section of the annex.

See *Error! Reference source not found.*

For both electronic and printed documents identify the title of the document and where the document is maintained. Example: Legal Case Filing Standard Operation Procedure Manual, (web-site URL)

For electronic files include the network path, folder name, sub-folder name(s), and file name. You may include a hyperlink or description of where to access files on the agency website or internal SharePoint site.

For printed documents, such as working case files or archive files identify where the document is stored and any requirements for accessing files stored in locked rooms or filing cabinets.

Information of this section can be found on the Business Process Analysis worksheet for each mission-essential function or from surveying the essential-staff identified in this annex.>

- NDOT Continuity of Operations Plan – maintained on Continuity Administration

### **TAB C-1: 16 Essential Data Identified for District 3**

<Identify the essential data to support the Business Unit/Functional Area for this TAB. If the Essential Records are the same as the Annex, then simply add a cross-reference link to that section of the annex.

See *Error! Reference source not found.*

You may choose to reference the agency's DR Plan for the applications/databases if one exists.

For electronic files include the network path, folder name, sub-folder name(s), and file name. You may include a hyperlink or description of where to access files on the agency website or internal SharePoint site.

Information of this section can be found on the Business Process Analysis worksheet for each mission-essential function or from surveying the essential-staff identified in this annex.>

### **TAB C-1: 17 Access to Essential Records and Data During a Continuity Activation**

See *Error! Reference source not found.*

### **TAB C-1: 18 Essential Records and Data Management Plan**

See *Error! Reference source not found.*

## **TAB C-1: EQUIPMENT and RESOURCES**

### **TAB C-1: 19 Financial Resources and Budgeting**

See *Error! Reference source not found.*

### **TAB C-1: 20 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

- [None Identified]

Add any equipment identified in this TAB to the master list maintained in Enclosure (7): Communications Capabilities and Equipment Master Inventory List.

### **TAB C-1: 21 Drive-Away Kits Supporting District 3**

[TBD]

See *Error! Reference source not found.*

### **TAB C-1: 22 Equipment Cache(s) Supporting District 3**

[TBD]

See *Error! Reference source not found.*

**TAB C-1: COMMUNICATIONS CAPABILITIES**

**TAB C-1: 23 Communications Capabilities Requirements**

See *Error! Reference source not found.*

Follow guidance provided in *Error! Reference source not found.*

<b>District 3 Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

**TAB C-1: 24 Maintaining Communications Requirements Inventory**

See *Error! Reference source not found.*

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Continuity of Operations Plan

Annex J: Operations Division

NDOT

TAB C-1: District 3

**TAB C-1: 25 District 3 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Tim Koenig	DOMM	402-370-3470	402-649-6078	402-380-0468	
Rob Davis	DCE	402-370-3470			
Judy Schoenfeldt	Administrative Assistant	402-370-3470			
Sue Larson	Human Resource Administrator	402-479-3643	402-326-2370	402-540-1925	
Blane Osterman	Personnel Manager II	402-479-4582	402-580-7724	402-423-0721	
Diane Holthus	Personnel Manager I	402-479-4580	402-310-2496		
Carrie Williams	Personnel Manager II	402-479-4870	402-440-1998		
Geri Waechter	Personnel Manager I	402-479-4577	402-890-4292	402-794-4096	
Bil Roby-Tubach	Personnel Manager II	402-479-4643	402-429-2583		
Wade Steele	Training & Development Manager	402-479-3617	402-560-7635	402-430-9282	
Carlo Campana	Personnel Assistant	402-479-3688	402-770-3592		

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INSERT TAB



## **D-1: EMERGENCY RELOCATION GROUP**

This TAB identifies MEFs, essential staff and their assigned responsibilities, and information specific to **District 4** business unit within NDOT.

### **D1-1 District 4 Mission Essential Functions (MEF)**

List of MEF's. See Table 2

### **D1-2 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Annex 10 and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

### **D1-3 Notification Procedures**

Activation of the District 4 mission essential functions will be directed by the District 4 ERG Chief when activated by NDOT Sr. Leadership after the Governor orders the activation of continuity operations. Essential staff identified to support District 4 will follow the alert and notification procedures outlined in the NDOT Continuity of Operations Base Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the District 4 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 4 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

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## D1-4 Emergency Relocation Group Members

The District 4 ERG team is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM -1
  - Administrative Assistant 1- 1
  - District Construction Engineer
- B. Staff Titles
  - ROW Permit Officer
  - IT Support- 1

**NDOT Table 1: District 4 ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
<i>Ben Merchant</i> <i>DOMM</i>	<b>ERG Chief</b>	Coordinate functional operations of the district.
<i>Eric Klein</i> <i>Construction Engineer</i>	ERG Member	Coordinate district construction activities.
<i>Deanna Zeman</i> <i>Administrative Assistant</i>	ERG Member	Coordinate district administrative activities

## **D-2: ALTERNATE FACILITY**

### **D2-1 Primary Facility**

NDOT District 4 Headquarters  
211 N. Tilden Street Grand Island NE 68803

### **D2-2 Location of Alternate Facilities**

The ERG Chief for District 4 will direct essential staff where and when to report once activated for continuity operations.

The ERG Chief will coordinate all internal/external communications functions with staff working at an alternate facility and staff approved to support District 4 functions remotely using telework procedures.

NDOT District 4 has identified, Ord, York, Grand Island and Hastings Maintenance Yards to serve as an alternate facilities for continuity operations when the primary facility is unavailable.

Ord Maintenance Yard 620 'U' Street, Ord NE 68862

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York Maintenance Yard 121 W. South 21<sup>st</sup> Street, York NE 6867-7512

Grand Island Maintenance Yard 3305 W Old Potash Hwy, Grand Island NE 68803  
 Hastings Maintenance Yard 111 E. Hwy 6, Hastings NE 68902  
 SOC 5001 S 14<sup>th</sup> Street Lincoln NE 68509

**D-3: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**D3-1 Mission-Essential Function Objective**

**D3-2 Mission-Essential Function Priority**

**Table 2 - One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 4 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b><u>One Day</u></b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Administering and managing activities, operations and programs assigned to the district.
	Coordinating functional operations within the district.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b><u>One Week</u></b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies
	Provide normal highway maintenance. Coordinate traffic incident management.
	Winter operations.
	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.
	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b><u>One Month</u></b> . (From highest priority to lowest.) <sup>c</sup>

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	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.
	Providing normal highway maintenance. Providing emergency maintenance as needed.
	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.
	Issuing or recommending miscellaneous permits as necessary.

### D3-3 District 4 Mission-Essential Function Assignments

**Table 3 - Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 4	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Coordinating functional operations within the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
District 4	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 4	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Maintenance Superintendent (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Winter operations	DOMM (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 4	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	Maintenance Superintendent (1) Maintenance Supervisor (1) Staff Assist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 4	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Month Mission-Essential Functions</b>			

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 4	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Providing normal highway maintenance. Providing emergency maintenance as needed.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Responding to and coordinating with state and local agencies on traffic incident management.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 4	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 4	Providing maintenance and repair services for equipment and buildings	Maintenance Superintendent (1) District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Mechanic repair Tools  Calling Tree – Code Agencies Contact List  State Directory

## **D-4: ORDERS OF SUCCESSION**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

### **D4-1 Leadership Succession for District 4**

*NDOT Table 4 - District 4 Orders of Succession*

<b>[Tab or Division Name] – ERG Chief</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District Engineer District 4	Wes Wahlgren
<b>1st Order</b>	District Construction Engineer	Eric Klein
<b>2nd Order</b>	District Operations Maintenance Manager	Ben Merchant
<b>3rd Order</b>	Grand Island Superintendent	Cindy Jelinek

## **D-5: DELEGATION OF AUTHORITY**

### **D5-1 Delegation of Authority for Administrative Services**

The signed Delegation of Authority Letter for the District is not needed.

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## **D-6: ESSENTIAL RECORDS AND RESOURCES**

**D6-1 Essential Records Identified for [Tab Name] Support**

**D6-2 Access to Essential Records and Data during a Continuity Activation**

**D6-3 Financial Resources and Budgeting**

See *Error! Reference source not found.*

**D6-4 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

- [None Identified]

## **D-7: DRIVE-AWAY KITS / EQUIPMENT CACHES**

**D7-1 Drive-Away Kits Supporting District 4 Functions**

To be determined

**D7-2 Equipment Cache(s) Supporting District 4 Functions**

To be determined

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## **D-8: CONTINUITY COMMUNICATIONS**

### **D8-1 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing [Tab functions] during a continuity event.

***NDOT Table 5 - District 4 Communications Capabilities***

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Webex	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

## **D-9: SITE SUPPORT PROCEDURES**

### **D9-1 Alternate Facility Site Support Procedures**

**To be determined.**

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## D-10: Contact Roster

### D10-1 District 4 Contact Roster

See Staff Roster

## NDOT EMERGENCY NOTIFICATION AND REPORTING PROCEDURES

USING THE FOLLOWING CONTACTS. Emergencies only not for Public

State Operations Center, SOC Omaha [402] 331-5993

7-29-2022

### ORD AREA

#### Principal Contact

Jeff Grooms

Bus: (308) 728-3761

P Cell: (308) 730-0614

Radio: 412

#### 1<sup>st</sup> Alternate Contact

Gregg Wetzel

Bus: (308) 728-3761

P Cell: (308) 730-2957

Radio: 4121

#### 2<sup>nd</sup> Alternate Contact

Rich McKenney

Bus: (308) 728-3761

Cell: (308) 750-2340

P Cell: (308) 730-0753

Radio: 410

#### 3<sup>rd</sup> Alternate Contact

Ben Merchant

Bus: (308) 385-6265

Cell: (308) 379-5129

P Cell: (308) 940-2844

Radio: 403

#### 4<sup>th</sup> Alternate Contact

Wes Wahlgren

Bus: (308) 385-6265

Cell: (308) 380-3278

P Cell: (308) 383-6993

Radio: 401

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**FULLERTON AREA**

**Principal Contact**

Chuck Stanczyk  
Bus: (308) 536-2375  
Cell:  
P Cell: (308) 550-0328  
Radio: 411

**1<sup>st</sup> Alternate Contact**

Tracy Sharman  
Bus: (308) 536-2375  
P Cell: (308) 548-8155  
Radio: 4111

**2<sup>nd</sup> Alternate Contact**

Rich McKenney  
Bus: (308) 728-3761  
Cell: (308) 750-2340  
P Cell: (308) 730-0753  
Radio: 410

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**ST. PAUL AREA**

**Principal Contact**

Rob Polen  
Bus: (308) 754-5412  
Cell: (308) 730-2281  
P Cell: (308) 750-6554  
Radio: 413

**1<sup>st</sup> Alternate Contact**

Jeff Ogard  
Bus: (308) 754-5412  
P Cell: (308) 520-5636  
Radio: 4131

**2<sup>nd</sup> Alternate Contact**

Rich McKenney  
Bus: (308) 728-3761  
Cell: (308) 750-2340  
P Cell: (308) 730-0753  
Radio: 410

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**GREELEY AREA**

**Principal Contact**

Travis Wood  
Bus: (308) 428-5215  
Cell: (308) 223-0286  
P Cell: (308) 754-8189  
Radio: 414

**1<sup>st</sup> Alternate Contact**

Larry Cadek  
Bus: (308) 428-5215  
P Cell: (308) 219-0241  
Radio: 4141

**2<sup>nd</sup> Alternate Contact**

Rich McKenney  
Bus: (308) 728-3761  
Cell: (308) 750-2340  
P Cell: (308) 730-0753  
Radio: 410

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**CENTRAL CITY AREA**

**Principal Contact**

Martin Rodriguez  
Bus: (308) 946-2911  
Cell: (308) 380-2661  
P Cell: (308) 730-1438  
Radio: 415

**1<sup>st</sup> Alternate Contact**

Eric Nielsen  
Bus: (308) 946-2911  
P Cell: (402) 694-1426  
Radio: 4151

**2<sup>nd</sup> Alternate Contact**

Rich McKenney  
Bus: (308) 728-3761  
Cell: (308) 750-2340  
P Cell: (308) 730-0753  
Radio: 410

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**LOUP CITY AREA**

**Principal Contact**

Joyce Stover  
Bus: (308) 745-0920  
P Cell: (308) 390-4661  
Radio: 416

**1<sup>st</sup> Alternate Contact**

Rick Stanczyk  
Bus: (308) 745-0920  
P Cell: (308) 750-5201  
Radio: 4161

**2<sup>nd</sup> Alternate Contact**

Rich McKenney  
Bus: (308) 728-3761  
Cell: (308) 750-2340  
P Cell: (308) 730-0753  
Radio: 410

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**YORK AREA**

**Principal Contact**

Kevin Stuhr  
Bus: (402) 362-5930  
Cell: (402) 362-9034  
P Cell: (402) 366-4250  
Radio: 432

**1<sup>st</sup> Alternate Contact**

Matt Peterson  
Bus: (402) 362-5930  
Cell: (308) 218-7237  
Radio: 434

**2<sup>nd</sup> Alternate Contact**

Dan Parks  
Bus: (402) 362-5930  
Cell: (402) 363-1208  
Radio: 4321

**3<sup>rd</sup> Alternate Contact**

Tad Johnson  
Bus: (402) 362-5930  
Cell: (402) 362-9035  
P Cell: (402) 710-1404  
Radio: 430

**4<sup>th</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**5<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-693  
Radio: 401

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**GENEVA AREA**

**Principal Contact**

Chris Dunker  
Bus: (402) 759-3319  
Cell: (402) 759-1616  
P Cell: (402) 759-1400  
Radio: 431

**1<sup>st</sup> Alternate Contact**

John Riel  
Bus: (402) 759-3319  
Cell: (308) 218-7254  
P Cell: (402) 759-1921  
Radio: 4311

**2<sup>nd</sup> Alternate Contact**

Tad Johnson  
Bus: (402) 362-5930  
Cell: (402) 362-9035  
P Cell: (402) 710-1404  
Radio: 430

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**HEBRON AREA**

**Principal Contact**

Kirk Culler  
Bus: (402) 768-0423  
Cell: (402) 971-9030  
P Cell: (402) 200-8714  
Radio: 433

**1<sup>st</sup> Alternate Contact**

Bruce Messing  
Bus: (402) 768-0423  
Cell: 402-200-9859  
P Cell: (402) 768-3753  
Radio: 4331

**2<sup>nd</sup> Alternate Contact**

Tad Johnson  
Bus: (402) 362-5930  
Cell: (402) 362-9035  
P Cell: (402) 710-1404  
Radio: 430

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 3379-5129  
P Cell: (308) 379-5129  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**OSCEOLA AREA**

**Principal Contact**

Ronnie Carlson  
Bus: (402) 747-8211  
Cell: (402) 383-0829  
Res: (402) 366-8834  
Radio: 435

**1<sup>st</sup> Alternate Contact**

Eric Swanson  
Bus: (402) 747-8211  
Cell: (402) 366-0576  
P Cell: (402) 631-7611  
Radio: 4351

**2<sup>nd</sup> Alternate Contact**

Tad Johnson  
Bus: (402) 362-5930  
Cell: (402) 362-9035  
P Cell: (402) 710-1404  
Radio: 430

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**GRAND ISLAND AREA**

**Principal Contact**

Dave Carroll  
Bus: (308) 385-6263  
Cell: (308) 390-0175  
P Cell: (308) 440-0437  
Radio: 443

**1<sup>st</sup> Alternate Contact**

Randy Schimmer  
Bus: (308) 385-6263  
Cell: (308) 390-4321  
P Cell: (308) 390-1325  
Radio: 442

**2<sup>nd</sup> Alternate Contact**

Cindy Jelinek  
Bus: (308) 385-6263  
Cell: (308) 390-0174  
P Cell: (308) 383-1604  
Radio: 440

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**KEARNEY WEST AREA**

**Principal Contact**

Scott Orcutt  
Bus: (308) 865-5424  
Cell: (308) 390-5173  
P Cell: (308) 293-4437  
Radio: 441

**1<sup>st</sup> Alternate Contact**

Mark Witt  
Bus: (308) 865-5424  
Cell: (308) 708-1715  
P Cell: (620) 617-4153  
Radio: 4411

**2<sup>nd</sup> Alternate Contact**

Cindy Jelinek  
Bus: (308) 385-6263  
Cell: (308) 390-0174  
P Cell: (308) 383-1604  
Radio: 440

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**RAVENNA AREA**

**Principal Contact**

John Gorecki  
Bus: (308) 452-4222  
Cell: (308) 390-0177  
P Cell: (308) 224-0764  
Radio: 444

**1<sup>st</sup> Alternate Contact**

Tim Miller  
Bus: (308)-452-4222  
Cell: (308) 390-8777  
P Cell: (308) 379-1380  
Radio: 4441

**2<sup>nd</sup> Alternate Contact**

Cindy Jelinek  
Bus: (308) 385-6263  
Cell: (308) 390-0174  
P Cell: (308) 383-1604  
Radio: 440

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**KEARNEY I-80 AREA**

**Principal Contact**

Gary Hibberd  
Bus: (308) 865-5430  
Cell: (308) 390-0178  
P Cell: (308) 627-3570  
Radio: 445

**1<sup>st</sup> Alternate Contact**

Travis Martenson  
Bus: (308) 865-5430  
Cell: (308) 708-1372  
P Cell: (308) 627-3307  
Radio: 4451

**2<sup>nd</sup> Alternate Contact**

Cindy Jelinek  
Bus: (308) 385-6263  
Cell: (308) 390-0174  
P Cell: (308) 383-1604  
Radio: 440

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**HASTINGS AREA**

**Principal Contact**

Jim Delarm  
Bus: (402) 462-1996  
Cell: (402) 469-6527  
P Cell: (402) 469-4721  
Radio: 451

**1<sup>st</sup> Alternate Contact**

John Brittain  
Bus: (402) 462-1996  
P Cell: (402) 519-8004  
Radio: 4511

**2<sup>nd</sup> Alternate Contact**

Randy Sabata  
Bus: (402) 462-1996  
Cell: (402) 694-8853  
P Cell: (402) 694-8913  
Radio: 450

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**SUPERIOR AREA**

**Principal Contact**

Steve Clyde  
Bus: (402) 879-4016  
Cell: (402) 469-2711  
P Cell: (402) 879-5583  
Radio: 452

**1<sup>st</sup> Alternate Contact**

Jason Jensen  
Bus: (402) 879-4016  
P Cell: (402) 879-5760  
Radio: 4521

**2<sup>nd</sup> Alternate Contact**

Randy Sabata  
Bus: (402) 462-1996  
Cell: (402) 694-8853  
P Cell: (402) 694-8913  
Radio: 450

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

**RED CLOUD AREA**

**Principal Contact**

Randy Goos  
Bus: (402) 746-2740  
Cell: (402) 746-4644  
P Cell: (402) 460-8881  
Radio: 453

**1<sup>st</sup> Alternate Contact**

James Durfey  
Bus: (402) 746-2740  
P Cell: (402) 879-9503  
Radio: 4531

**2<sup>nd</sup> Alternate Contact**

Randy Sabata  
Bus: (402) 462-1996  
Cell: (402) 694-8853  
P Cell: (402) 694-8913  
Radio: 450

**3<sup>rd</sup> Alternate Contact**

Ben Merchant  
Bus: (308) 385-6265  
Cell: (308) 379-5129  
P Cell: (308) 940-2844  
Radio: 403

**4<sup>th</sup> Alternate Contact**

Wes Wahlgren  
Bus: (308) 385-6265  
Cell: (308) 380-3278  
P Cell: (308) 383-6993  
Radio: 401

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**AURORA AREA**

**Principal Contact**

**Dave Schwartz**

**Bus: (402) 694-2137**

**Cell: (402) 460-0916**

**P Cell: (402) 631-9531**

**Radio: 454**

**1<sup>st</sup> Alternate Contact**

**Richard Pearce**

**Bus: (402) 694-2137**

**P Cell: (308) 390-6808**

**Radio: 4541**

**2<sup>nd</sup> Alternate Contact**

**Randy Sabata**

**Bus: (402) 462-1996**

**Cell: (402) 694-8853**

**P Cell: (402) 694-8913**

**Radio: 450**

**3<sup>rd</sup> Alternate Contact**

**Ben Merchant**

**Bus: (308) 385-6265**

**Cell: (308) 379-5129**

**P Cell: (308) 940-2844**

**Radio: 403**

**4<sup>th</sup> Alternate Contact**

**Wes Wahlgren**

**Bus: (308) 385-6265**

**Cell: (308) 380-3278**

**P Cell: (308) 383-6993**

**Radio: 401**

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INSERT TAB



## ***TAB E – District 5***

### **E-1: EMERGENCY RELOCATION GROUP**

This TAB identifies Mission Essential Functions (MEF), essential staff and their assigned responsibilities, and information specific to **District 5** business unit within NDOT.

District 5 mission-essential function:

1. List MEFs.

#### **E1-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Annex 10 Annex and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

#### **E1-2 Notification Procedures**

Activation of District 5 Mission Essential Functions will be directed by the District 5 ERG Chief when activated by NDOT Sr. Leadership after the Governor orders the activation of continuity operations. Essential staff identified to support District 5 will follow the alert and notification procedures outlined in Section IV of the NDOT Continuity of Operations Base Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the District 5 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 5 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

**E1-3 Emergency Relocation Group Members**

The **MEF** ERG team is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM -1
  - Administrative Assistant 1- 1
  - District Construction Engineer
- B. Staff Titles
  - Staff Assistant -1
  - ROW Permit Officer
  - IT Support- 1

**NDOT Table 1: District 5 ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
<i>John Lutz</i>	ERG Chief	Coordinate functional operations of the District.
Casey Wirth Gering Maint. Supt.	ERG Member	Coordinate District Maintenance activities
Scott Sorensen District Construction Engineer	ERG Member	Coordinate District Construction activities
Mindy Whiteley Administrative Assistant	ERG Member	Coordinate District Administrative activities

**E-2: ALTERNATE FACILITY**

**E2-1 Primary Facility**

NDOT District 5 Headquarters  
140375 Rundell Rd. Gering, NE, 69341

**E2-2 Location of Alternate Facilities**

The ERG Chief for District 5 will direct essential staff where and when to report once activated for continuity operations.

The ERG Chief will coordinate all internal/external communications functions with staff working at an alternate facility and staff approved to support District 5 functions remotely using telework procedures.

NDOT District 5 has identified the Chadron Maintenance Yard to serve as an alternate facilities for continuity operations when the primary facility is unavailable.

Chadron Maintenance Yard – 430 Stockade Road, Chadron, NE, 69337

E-3 MISSION-ESSENTIAL FUNCTIONS (MEF)

**E3-1 Mission-Essential Function Objective**

**E3-2 Mission-Essential Function Priority**

**Table 2. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 5 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Administering and managing activities, operations and programs assigned to the district.
	Coordinating functional operations within the district.
	Communicate with and update the SOC and associated intelligent transportation devices.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies
	Provide normal highway maintenance. Coordinate traffic incident management.
	Winter operations.
	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.
	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.

	Providing normal highway maintenance. Providing emergency maintenance as needed.
	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.
	Issuing or recommending miscellaneous permits as necessary.

**E3-3 District 5 Mission-Essential Function Assignments**

**Table 3 - Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 5	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 5	Coordinating functional operations within the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
District 5	Communicate and Coordinate with the State Operations Center and associated intelligent transportation devices.	Staff Assistant (1) Electronics Technician (2) SOC operator(s)	Phones, cell phones, email, fax, Computers/Laptops, printers Required Technical equipment  Calling Tree – Code Agencies
District 5	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB E: District 5

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 5	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Maintenance Superintendents (3)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 5	Winter operations	DOMM (1) Maintenance Superintendents (3) Maintenance Supervisors (9)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 5	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	Maintenance Superintendent (3) Maintenance Supervisor (9) Electronics Technician (2) Staff Assist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 5	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (6) Staff Assist (1) Maintenance Superintendents (3) Maintenance Supervisors (3)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

**One-Month Mission-Essential Functions**

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB E: District 5

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 5	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Staff Assistant (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 5	Providing normal highway maintenance. Providing emergency maintenance as needed.	Maintenance Superintendents (3) Maintenance Supervisors (9)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 5	Responding to and coordinating with state and local agencies on traffic incident management.	Maintenance Superintendents (3) Maintenance Supervisors (9)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 5	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanics (9)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 5	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 5	Providing maintenance and repair services for equipment and buildings	Maintenance Superintendents (3) District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Mechanic repair Tools  Calling Tree – Code Agencies Contact List  State Directory

## **E-4: ORDERS OF SUCCESSION**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

### **E4-1 Leadership Succession for [Tab Name]**

**Table 4 District 5 Orders of Succession**

District 5 Leadership Succession		
Succession	Title	Name
<b>Primary</b>	District Engineer District 5	Doug Hoevet
<b>1st Order</b>	District Construction Engineer	Scott Sorensen
<b>2nd Order</b>	District Operations Maintenance Manager	John Lutz
<b>3rd Order</b>	Gering Highway Superintendent	Casey Wirth

## **E-5: DELEGATION OF AUTHORITY**

### **E5-1 Delegation of Authority for Administrative Services**

The signed Delegation of Authority Letter for District 5 – Tab E is maintained in OnBase

## **E-6: ESSENTIAL RECORDS AND RESOURCES**

### **E6-1 Essential Records Identified for District 5 – Tab E Support**

**E6-2 Access to Essential Records and Data During a Continuity Activation**

**E6-3 Financial Resources and Budgeting**

**E6-4 Additional Resource Requirements**

E-7: DRIVE-AWAY KITS / EQUIPMENT CACHES

**E7-1 Drive-Away Kits Supporting District 5 Functions**

[TBD]

**E7-2 Equipment Cache(s) Supporting District 5 Functions**

[TBD]

E-8: CONTINUITY COMMUNICATIONS

**E8-1 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing [Tab functions] during a continuity event.

**Table 5: District 5 Communications Capabilities**

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

E-9: SITE SUPPORT PROCEDURES

**E9-1 Alternate Facility Site Support Procedures**

Same as District Head Quarters

NDOT

E-10: Contact Roster

**E10-1 District 5 Contact Roster**

**Table 6 District 5 Staff Roster**

NAME	TITLE/AREA OF RESPONSIBILITY	COOP ROLE	OFFICE PHONE	HOME PHONE	MOBILE

Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Albery, Jeffrey</b>	Chappell		308-874-2900		308-380-3618
<b>Anderson, Jeremy</b>	Chadron		308-432-6141		605-347-0469
<b>Anest, Steve</b>	Sidney		308-254-6932	308-249-1801	308-254-7370
<b>Ashmore, Derik</b>	Chappell		308-874-2900		308-778-6641
<b>Bailey, James</b>	Gering		308-436-6587		308-660-8259
<b>Baker, Ronald</b>	Kimball		308-235-2413		308-235-3482
<b>Beardsley, Benjamin</b>	Sidney		308-254-6932		308-249-6978
<b>Beeny, Thomas</b>	Gering		308-436-6587		308-631-3507
<b>Biernacki, Joseph</b>	Chadron		308-432-6141		308-430-2157
<b>Blodgett, Scott</b>	Kimball		308-235-2413		308-235-7042
<b>Boecking, Robert</b>	Gering		308-436-6587	308-279-2389	308-623-2058
<b>Browning, Brian</b>	Crawford		308-665-1120	308-220-8778	308-615-9077
<b>Burry, Scott</b>	Bridgeport		308-262-1929	308-280-0535	308-631-0490
<b>Cautrell, James</b>	Gering		308-436-6587		308-765-3794
<b>Cheramie, Samuel</b>	Chappell		308-874-2900		706-429-3353
<b>Clarey, Tadd</b>	Gering		308-436-6587	308-765-2772	308-641-1872
<b>Clinger, Scott</b>	Gering		308-436-6587	308-279-0553	308-631-2123

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB E: District 5

Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Cochran, Kyle</b>	Sidney		308-254-6932	308-250-0736	308-249-4707
<b>Conley, Auston</b>	Alliance		308-763-2947	308-760-8594	308-279-2263
<b>Conley, Logan</b>	Bridgeport		308-262-1925		308-279-1778
<b>Culek, Michael</b>	Kimball		308-235-2413		308-682-5162
<b>Dailey, Todd</b>	Sidney		308-254-6959	308-250-2035	308-249-1608
<b>Deines, James</b>	Gering		308-436-6587	308-262-5234	308-641-0919
<b>Dermer, David</b>	Bridgeport		308-262-1925	308-279-2261	308-262-5114
<b>Doggett, Roger</b>	Gering		308-436-6587		308-214-0159
<b>Ebmeier, Calvin</b>	Chadron		308-432-6141		308-665-4119
<b>Franklin, Lucky</b>	Kimball		308-235-2413		308-235-2910
<b>Franklin, Nathan</b>	Gering		308-436-6587	308-672-9941	
<b>Franson, Christopher</b>	Gordon		308-282-0599		970-580-6330
<b>Frickey, Russell</b>	Bridgeport		308-262-1929	308-279-1528	308-262-0437
<b>Frickey, Timothy</b>	Bridgeport		308-262-1925		308-262-1408
<b>Fritton, Brandon</b>	Gering		308-436-6587	308-225-1920	308-631-2192
<b>Froman, Curtis</b>	Crawford		308-665-1120		305-575-4686
<b>Galindo, Jose</b>	Gering		308-436-6587	308-637-1481	308-225-2851
<b>Garcia, Gregory</b>	Gering		308-436-6587		970-893-0811
<b>Giger, Charles</b>	Gering		308-436-6587		308-760-3604
<b>Gillen, Martin</b>	Gering		308-436-6587	308-641-2596	308-424-1074
<b>Gonzalez, Javier</b>	Bridgeport		308-262-1925		308-279-2451
<b>Goodwin, Garrett</b>	Kimball		308-235-2413		308-241-0554

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Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Grant, Elias</b>	Gering		308-436-6587		507-535-9582
<b>Grove, Brian</b>	Crawford		308-665-1120	308-430-4913	308-207-5319
<b>Hack, Jeffrey</b>	Gering		308-436-6587	308-280-0517	308-641-3355
<b>Hagemeyer, Jordan</b>	Sidney		308-254-6959	308-637-1495	970-580-8489
<b>Haiar, John</b>	Kimball		308-235-2413	308-230-0377	308-235-3542
<b>Hanks, Wade</b>	Crawford		308-665-1120	308-430-1086	308-430-1994
<b>Harpold, Nicholas</b>	Gering		308-436-6587	308-631-1752	308-631-6381
<b>Hathaway, Adam</b>	Sidney		308-254-6959	308-280-0564	541-632-2704
<b>Haverland, Logan</b>	Crawford		308-665-1120		308-665-5014
<b>Hayden, Lynn</b>	Kimball		308-235-2413		308-235-5894
<b>Hoagland, Matthew</b>	Oshkosh		308-772-3393		308-778-6853
<b>Hoebet, Douglas</b>	Gering		308-436-6587	308-279-0566	308-672-8462
<b>Hoth, Riley</b>	Crawford		308-665-1120		970-629-9132
<b>Huennekens, Cody</b>	Gordon		308-282-0599		360-839-3954
<b>Husted, Matthew</b>	Gering		308-436-6587	308-225-0149	308-672-8734
<b>Jacobs, Maryanne</b>	Gering		308-436-6587	308-641-8987	308-672-1832
<b>Johns, Ned</b>	Gordon		308-282-0599	308-207-5187	308-360-0627
<b>Johnson, James</b>	Gering		308-436-6587	308-279-0565	308-631-9477
<b>Johnson, Timothy</b>	Chappell		308-874-2900	308-672-1021	308-874-3134
<b>Johnson, Trevor</b>	Gering		308-436-6587	308-220-8276	308-641-7503
<b>Jones, Matthew</b>	Sidney		308-254-6932		308-250-1205
<b>Jones, Sherrie</b>	Chadron		308-432-6141		308-432-5925

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Annex 10: Operations Division

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Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Keim, Jake</b>	Bridgeport		308-262-1925		402-276-9585
<b>Kelly, Billy</b>	Chadron		308-432-6144	308-430-0782	402-322-0881
<b>Kessler, Kolebe</b>	Chappell		308-874-2900		307-921-8350
<b>Keup, William</b>	Sidney		308-254-6932		209-872-9666
<b>Klussman, Nathan</b>	Kimball		308-235-2413	308-637-2312	308-241-0387
<b>Knicely, Philip</b>	Kimball		308-235-2413		308-235-5272
<b>Kokes, Taylor</b>	Sidney		308-254-6932	308-225-2276	970-571-1152
<b>Kramer, Shawn</b>	Chappell		308-874-2900		308-464-0704
<b>Labeau, Ryan</b>	Kimball		308-235-2413	308-280-0173	308-235-8718
<b>Lally, Melissa</b>	Gering		308-436-6587	308-650-9835	308-225-3149
<b>Land, James</b>	Kimball		308-235-2413	308-235-9274	308-235-7103
<b>Landgren, Richard</b>	Alliance		308-763-2947		308-762-1868
<b>Lovell, James</b>	Chappell		308-874-2900		308-874-3170
<b>Lunbery, Troy</b>	Alliance		308-763-2947		308-760-8795
<b>Lutz, John</b>	Gering		308-436-6587	308-279-0698	308-430-2827
<b>Marshall, Daniel</b>	Alliance		308-763-2947		308-763-8981
<b>Meeks, Justin</b>	Gordon		308-282-0599	308-225-3655	308-360-1033
<b>Miller, Casey</b>	Gering		308-436-6587	308-280-0581	402-669-0958
<b>Mohrman, Ryan</b>	Bridgeport		308-262-1929	308-631-2034	308-631-2903
<b>Monaghan, Eamon</b>	Harrison		308-668-2493		308-641-4425
<b>Monday, Daniel</b>	Kimball		308-235-2413		307-274-1550
<b>Moore, Bradley</b>	Chadron		308-432-6144		308-430-3044

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Annex 10: Operations Division

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TAB E: District 5

Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Motzkus, James</b>	Sidney		308-254-6932		308-566-0126
<b>Muhr, Joey</b>	Gering		308-436-6587	308-641-8394	308-641-8669
<b>Noel, Richard</b>	Gering		308-436-6587		970-580-8050
<b>Olson, Marc</b>	Chadron		308-432-6141		308-430-0411
<b>Page, Austin</b>	Chadron		308-432-6141		308-432-2046
<b>Paulsen, Jim</b>	Chappell		308-874-2900	308-890-0078	308-778-7229
<b>Perry, Dustin</b>	Sidney		308-254-6932		970-466-5132
<b>Pieper, Richard</b>	Gering		308-436-6587		308-672-3684
<b>Piper, Franklin</b>	Harrison		308-668-2493	308-225-0150	308-668-2304
<b>Polk, Justin</b>	Chappell		308-874-2900		308-874-6294
<b>Ragsdale, Mark</b>	Kimball		308-235-2413		307-214-3353
<b>Ramos, Ylario</b>	Gering		308-436-6587		308-672-3253
<b>Reed, Mark</b>	Sidney		308-254-6932	308-637-1499	308-250-6969
<b>Rhembrandt, Betty</b>	Chadron		308-432-6141		308-432-2046
<b>Robinson, Brandy</b>	Gering		308-436-6587		308-765-3964
<b>Roebuck, Steven</b>	Bridgeport		308-262-1929	308-280-0487	308-279-1672
<b>Romick, Christopher</b>	Alliance		308-763-2947		308-460-2089
<b>Roth, David</b>	Gering		308-436-6587		308-631-3575
<b>Salazar, Joe</b>	Gering		308-436-6587		435-219-5124
<b>Sanford, Alan</b>	Oshkosh		308-772-3393	308-650-1461	308-280-0590
<b>Sauer, Dean</b>	Bridgeport		308-262-1925		830-6138740
<b>Saxton, John</b>	Gordon		308-282-0599		308-282-2844

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Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Schmunk, Rick</b>	Gering		308-436-6587	308-279-2299	308-672-1650
<b>Shields, Eldon</b>	Chadron		308-432-6141		308-430-2241
<b>Shoemaker, Janaye</b>	Alliance		308-763-2947		308-760-1215
<b>Simmons, Buckley</b>	Sidney		308-254-6959	308-637-1489	308-250-0638
<b>Slater, Anthony</b>	Gering		308-436-6587		308-672-0214
<b>Smith, Marc</b>	Gering		308-436-6587	308-637-1492	308-631-0347
<b>Smith, James</b>	Gering		308-436-6587	308-280-0573	402-309-3281
<b>Smith, Lucas</b>	Gordon		308-282-0599	308-225-2993	785-222-6308
<b>Snyder, Jimmy</b>	Alliance		308-763-2947		308-760-2111
<b>Sorensen, Scott</b>	Gering		308-436-6587	308-641-7753	402-203-3436
<b>Steinwart, Darryl</b>	Gering		308-436-6587	308-280-0109	308-436-5376
<b>Stevens, Timothy</b>	Bridgeport		308-262-1929	308-280-0452	308-279-1038
<b>Stokes, Gregory</b>	Sidney		308-254-6932		308-254-1197
<b>Tapster, Taylor</b>	Gering		308-436-6587	308-225-1153	308-225-0999
<b>Torres, Victor</b>	Gering		308-436-6587	308-225-1469	308-631-9460
<b>Trevino, George</b>	Kimball		308-235-2413		970-379-1113
<b>Uhrig, Cody</b>	Sidney		308-254-6932		308-279-2342
<b>Vach, Timothy</b>	Gering		308-436-6587	308-280-0582	308-631-4050
<b>Vogel, Trent</b>	Alliance		308-763-2947	308-629-7442	308-760-7612
<b>Walker, Kelly</b>	Chadron		308-432-6144	308-430-5063	308-432-4686
<b>Ward, Ronda</b>	Chappell		308-874-2900	308-874-4492	308-874-2694
<b>Ward, Steven Ward</b>	Kimball		308-235-2413		308-241-0512

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Continuity of Operations Plan

Annex 10: Operations Division

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TAB E: District 5

Name	Title/Area of Responsibility	COOP Role	Office Phone	State Cell#	Home Phone
<b>Wells, Jeremy</b>	Gering		308-436-6587	308-225-2500	970-554-0384
<b>Wheeler, Quinn</b>	Crawford		308-665-1120		308-430-4338
<b>Whiteley, Mindy</b>	Gering		308-436-6587		308-672-5789
<b>Wickham, Michael</b>	Alliance		308-763-2947		308-763-1708
<b>Wiggins, Miles</b>	Bridgeport		308-262-1925		308-279-2085
<b>Wild, Garrett</b>	Chadron		308-432-6144	308-637-1487	308-430-3908
<b>Wilkinson, Joseph</b>	Chadron		308-432-6141	308-207-5433	308-430-2391
<b>Wilson, Corby</b>	Chadron		308-432-6141		308-430-2298
<b>Wilson, Terry</b>	Chadron		308-432-6144	308-637-1469	308-260-1975
<b>Wirth, Casey</b>	Gering		308-262-1925	308-280-0440	308-672-7563
<b>Witt, Karl</b>	Chadron		308-432-6144	308-430-4912	308-432-5164
<b>Woolery, Joseph</b>	Oshkosh		308-772-3393		308-778-7567
<b>Zlomke, Larry</b>	Gering		308-436-6587		308-672-0048

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## **TAB F – District 6**

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### **F-1: EMERGENCY RELOCATION GROUP**

This TAB identifies Mission Essential Functions (MEF), essential staff and their assigned responsibilities, and information specific to **District 6** business unit within NDOT.

District 6 mission-essential function:

#### **H1-1 List MEFs.**

#### **H1-2 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of [Annex 10] Annex and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

#### **H1-3 Notification Procedures**

Activation of [MEF District 6] functions will be directed by the District 6 ERG Chief when activated by [Agency Sr. Leadership] after the Governor orders the activation of continuity operations.

Essential staff identified to support District 6 will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations Base Plan.

#### **District 6 ERG Chief Responsibilities**

When ordered to activate, the District 6 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 6 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

## H1-4 Emergency Relocation Group Members

The **[MEF]** ERG team is derived from the following job titles and functions:

- A. Leadership Titles - Command and Control Functions
  - DOMM –ERG-Chief – response – rescue – recovery operations
  - District Engineer - ERG Chief - Administration - Coordination
  - District Construction Engineer -ERG Chief - Damage Assessment and Documentation & Reconstruction
  - Delivery Engineer - Operation Center Operation, Communications Center and Staff Support for field operatives.
  
- B. "Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission."
  
- C. Staff Titles
  - Administrative Assistant (1) – Comms and Coordination
  - District Permits Officer (1) – DOC Management & Logistics.
  - Staff Assistant (1)– Staff Support and Comms
  - Construction Staff Assistant (1)– Staff Support and Comms
  
- D. **Response, Rescue and Recovery Command**
  - Superintendents (Roadmasters -5)
    - Art Kigar– Superintendent area 610
    - Pam Garrett – Superintendent area 620
    - Bob Hilton – Superintendent area 630
    - Andrew Chapin – Superintendent area 640
    - Sonny Scott– Superintendent area 650
  
- E. Damage Assessment and Reconstruction Activities
  - Project Management (5)
    - Gary Brinker - Project Manager
    - Jason Nichols Project Manager
    - Josh Willard - Project Manager
    - Troy Pederson - Project Manager
    - Dan Lewandowski - Project Manager
  
- F. Asset/Equipment Management and Transport
  - Fleet Manager (1)- Fred Behrle & staff



NDOT Operations Tab H-1 Table 1: District 6 ERG Lead Team

Name/Title	ERG Position	MEF Role/Responsibility
<i>Roger Klasna DOMM &amp; District Engineer Gary Thayer</i>	ERG Chiefs	Coordinate oversight/control and command operations for the district.
<i>Cameron Craig Construction Engineer</i>	ERG Lt.	Coordinate damage assessments and reconstruction activities.
Thomas Thornton Delivery Engineer	ERG Lt.	Coordinate District Operations Center Communication and support activities

## H-2: ALTERNATE FACILITY

### H2-1 Primary Facility

NDOT District 6 Headquarters  
1321 North Jeffers North Platte Nebraska

### H2-2 Location of Alternate Facilities

- The ERG Chiefs for District 6 will direct operations and dispatch essential staff of where and when to report once activated for continuity operations.
- Evacuation checklists and alternate sites are located on the Departments H drive for District 6.
- The ERG Chiefs and Delivery Engineer will coordinate all internal/external communications and functions for all staff and those working for our district or an alternate facility through cell communication or our statewide radio system.
- Additional Staff may be necessary for large scaled operations to support District 6 functions and for backfill for those who may be affected by the event.
- NDOT D6 Delivery Engineer will track and maintain a roster of those involved and their function/ location and activity assigned remotely using telework procedures.
- The Delivery Engineer will coordinate food and housing for those being used for extended stay outside their work unit.
- NDOT District 6 has identified Stapleton as its alternate headquarters in the event that its District headquarters in North Platte is adversely impacted.
- Each maintenance facility has at least one alternate location to transport personnel and equipment in the event of threat or fore-casted event or known catastrophe to continue operations when the facility is threatened or unusable.
- The district has staging locations identified to store equipment if the excavation is necessary outside of the known threat (flood) region.

NDOT Stapleton Alternate Headquarters – 122 Highway S57A- Stapleton Nebraska

# H-3: MISSION-ESSENTIAL FUNCTIONS (MEF)

## H3-1 Mission-Essential Function Objective

## H3-2 Mission-Essential Function Priority

Tab H Table 2 - One-day, One-Week, and One-Month Mission-Essential Functions

Item	DISTRICT 6 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.)
	Provide oversight and response when necessary for NDOT activities, operations, resources and personnel assigned to the district. Provide intel and determine situation and mobility of the state's transportation system and alternate routing based on intel. Assist Department of Aeronautics when necessary. Coordinate activities and operations with internal and external partners and customers.
2	Mission-essential functions that must be performed given a disruption of greater than one day. But less than <b>One Week</b> . (From highest priority to lowest.)
	If a state of emergency is declared, communicate, coordinate and cooperate with agencies as detailed in Nebraska's State Emergency Operations Plan.
	<ul style="list-style-type: none"> <li>• Coordinate emergency activities with department leadership and local members of emergency management.</li> <li>• Provide road closures and alternate routing for affected transportation systems.</li> <li>• Determine staging areas for state assets, or command centers. (FOB)</li> <li>• Mobilize NDOT assets where necessary to respond to requests or incidents.</li> <li>• Oversee damage assessment and recovery activities for the transportation system.</li> <li>• Contract and oversee contractor activities when recovery is complete.</li> <li>• Assist city, state and county leadership and serve the general public.</li> <li>• Assist other State agencies as outlined in the State Emergency Operations Plan.</li> </ul>
	Mission-essential functions that must be performed given a disruption of greater than one week, but less than <b>One Month</b> . (From highest priority to lowest.)
	<p><i>Continuation of functions listed under item Number 1 and 2 above</i></p> <ul style="list-style-type: none"> <li>• Complete damage assessment and begin contracting recovery and reconstruction activities for/on the transportation system or for State Emergency Operations activities assigned to the region.</li> <li>• Work with department of aeronautics on fuel refilling sites or landing sites if local airports are unusable.</li> <li>• Work with emergency management or refueling sites for responder vehicles in close proximity to the disaster.</li> </ul>

### H3-3 Mission-Essential Function Assignments

**Tab H Table 3 - Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
One-Day Mission Essential Functions			
District 6	<p>Oversee activities and Operations on the Regions State Transportations system and its infrastructure.</p> <p>Utilize department assets and resources in response to local emergency events.</p> <p>Provide alternate routing for long term closures. Provide traffic control devices to increase mobility for alternate routing and for closure points.</p> <p>Provide timely response to emergencies and aid in rescue activities.</p>	<ul style="list-style-type: none"> <li>• District Engineer (1)</li> <li>• DOMM (1)</li> <li>• DCE (1)</li> <li>• Delivery Engineer (1)</li> </ul>	<p>Cell phones SWS radios, Computers/Laptops and Printers. Stored computer records, software and back-ups. Essential transportation equipment or devices.</p> <p>Calling Tree Code Agencies Contact List State Directory SEOP County LEOP Emergency Evacuation Plans, North Platte Evacuation Plans NDOT &amp; CDOT evacuation plans NDOT alternate routing plans Other evacuation plans Central &amp; Nebraska Public Power NDOT equipment and personnel</p>
District 6	<p>Support NDOT operations and public safety activities by providing personnel and assets to the affected area.</p> <p>Provide situation awareness for the emergency event and measurement of transportation system availability and mobility status.</p> <p>Supply and resupply of materials and stockpiles of fuel and necessity(s) to complete the objectives detailed in the SEOP.</p>	<ul style="list-style-type: none"> <li>• District Engineer (1)</li> <li>• DOMM (1)</li> <li>• DCE (1)</li> <li>• Delivery Engineer (1)</li> <li>• Staff Assistant (1)</li> <li>• Construction Staff Assistant (1)</li> <li>• Permit Officer (1)</li> <li>• DOC Operator (2)</li> <li>• Superintendents (5)</li> <li>• Supervisors (10)</li> <li>• Crew Chiefs (20)</li> <li>• Workers (40)</li> </ul>	<p>Cell phones SWS radios, Computers/Laptops and Printers. Stored computer records, software and back-ups. Essential transportation equipment or devices.</p> <p>Calling Tree/Alert system function Code Agencies Contact List State Directory SEOP County LEOP Emergency Evacuation Plans, North Platte Evacuation Plans NDOT Evacuation plans NDOT alternate routing plans Fleet and asset locations Facility operational status reports NDOT equipment and personnel</p>

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Week Mission-Essential Functions</b>			
District 6	<p>Administering and managing activities, operations and objectives assigned to the district utilizing department assets as required in accordance to the State Emergency Operations Plan.</p> <p>Resupply and stockpiling of materials and fuel.</p> <p>Rotation of alternate personnel from other districts and resources.</p> <p>Provide situation Awareness and intel as requested.</p> <p>Provide timely response to emergencies and aid in rescue activities or recovery</p>	<ul style="list-style-type: none"> <li>• District Engineer (1)</li> <li>• DOMM (1)</li> <li>• DCE (1)</li> <li>• Delivery Engineer (1)</li> <li>• Staff Assistant (1)</li> <li>• Construction Staff Assistant (1)</li> <li>• Permit Officer (1)</li> <li>• DOC Operator (2)</li> <li>• Superintendents (5)</li> <li>• Supervisors (10)</li> <li>• Crew Chiefs (20)</li> <li>• Workers (40)</li> </ul>	<ul style="list-style-type: none"> <li>• Cell phones SWS radios, Computers/Laptops and Printers.</li> <li>• Stored computer records, software and back-ups.</li> <li>• Essential transportation equipment or devices.</li> <li>• Calling Tree/Alert system function</li> <li>• Code Agencies Contact List</li> <li>• State Directory</li> <li>• SEOP</li> <li>• County LEOP</li> <li>• Emergency Evacuation Plans</li> <li>• North Platte Evacuation Plans</li> <li>• NDOT Evacuation plans</li> <li>• NDOT alternate routing plans</li> <li>• Fleet and asset locations</li> <li>• Facility operational status reports</li> <li>• NDOT equipment and personnel</li> <li>• NDOT supplies and materials</li> </ul>
District 6	<p>Daily assessment of situation and damage reports. Provide emergency services or activities as requested.</p> <p>Perform damage assessments of the transportation system. Documentation of situation. Begin minor recovery or contract repairs or contracted reconstruction activities.</p>	<ul style="list-style-type: none"> <li>• Superintendent, Supervisors or Crew Chiefs</li> </ul>	<ul style="list-style-type: none"> <li>• Phones, cell phones, email, fax, Computers/Laptops, printers</li> <li>• Department assets and rentals</li> <li>• Contact List</li> <li>• State Directory</li> <li>• Cameras</li> <li>• Drones w/ Lidar</li> <li>• Hot spot Wi-Fi</li> <li>• AVL</li> <li>• NDOT equipment and personnel</li> <li>• NDOT supplies and materials</li> </ul>
District 6	<p>Perform in depth damage assessments of the transportation system. Documentation of situation. Supply cold storage containers for cadavers or perishables.</p>	<ul style="list-style-type: none"> <li>• Construction Management</li> </ul>	<ul style="list-style-type: none"> <li>• As Built Plans</li> <li>• Cameras</li> <li>• Drones w/ Lidar</li> <li>• Computers</li> <li>• Cell Phone</li> <li>• Hot spot Wi-Fi</li> <li>• NDOT Emergency contact directory</li> <li>• GIS database</li> <li>• GIS systems</li> <li>• NDOT equipment and personnel</li> <li>• NDOT supplies and materials</li> </ul>

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 6	Contract services for significant recovery or reconstruction efforts to free NDOT assets.	<ul style="list-style-type: none"> <li>• Construction Management.</li> </ul>	<ul style="list-style-type: none"> <li>• Computers and data base</li> <li>• Communications systems</li> <li>• Cameras</li> <li>• NDOT vehicles</li> <li>• NDOT equipment and personnel</li> <li>• NDOT supplies and materials</li> </ul>

**One-Month Mission-Essential Functions**

District 6	<p>Oversee NDOT operations and public safety activities by providing personnel and assets to the affected area.</p> <p>Provide situation awareness to the emergency events and measurement of transportation system availability and mobility status and progress reports.</p>	<ul style="list-style-type: none"> <li>• Superintendent, Supervisors or Crew Chiefs</li> </ul>	<ul style="list-style-type: none"> <li>• NDOT vehicles</li> <li>• NDOT equipment and personnel</li> <li>• NDOT supplies and materials</li> <li>• NDOT resources</li> <li>• NDOT facilities</li> <li>• NDOT infrastructure</li> </ul>
District 6	<p>Maintain stock of parts for equipment. Perform equipment repair and maintenance.</p> <p>Provide complete maintenance records and documentation.</p>	<p>Fleet Manager (1) Mechanic (10)</p>	<ul style="list-style-type: none"> <li>• Phones, cell phones, email, fax, Computers/Laptops, printers</li> <li>• Calling Tree – Code Agencies Contact List State Directory</li> <li>• NDOT vehicles</li> <li>• NDOT equipment, facilities &amp; personnel</li> <li>• NDOT supplies and materials</li> <li>• Contract services</li> </ul>
District 6	<p>Issuing or providing miscellaneous permits as necessary.</p>	<p>District ROW permit Officer (1) Staff Asst (1)</p>	<ul style="list-style-type: none"> <li>• Phones, cell phones, email, fax, Computers/Laptops, printers</li> <li>• Calling Tree – Code Agencies Contact List State Directory</li> </ul>

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 6	Provide materials for long term events.	Superintendent (5) Fleet Manager (1)  Mechanic (2) Procurement Manager	<ul style="list-style-type: none"> <li>Phones, cell phones, email, fax, Computers/Laptops, printers</li> <li>Calling Tree – Code Agencies Contact List State Directory</li> <li>Contractors</li> <li>Suppliers and shippers.</li> <li>NDOT Procurement</li> </ul>
District 6	Provide updates and reports to State NDOT Headquarters on situation and progress.	<ul style="list-style-type: none"> <li>District Engineer (1)</li> <li>DOMM (1)</li> </ul>	<ul style="list-style-type: none"> <li>Phones, cell phones, email, fax, Computers/ Laptops, printers Mechanic repair Tools</li> <li>Calling Tree – Code Agencies Contact List State Directory</li> </ul>
District 7 & 8	Provide equipment and materials when necessary or equipment and personnel for long term events.	District Engineer (1) DOMM (1) Workers or technicians (20)	<ul style="list-style-type: none"> <li>Phones, cell phones, email, fax, Computers/ Laptops, printers</li> <li>NDOT vehicles</li> <li>NDOT equipment with SWS radios</li> <li>Provide leadership if DE or DOMM is unable to perform their function or need assistance.</li> </ul>

## H-4: ORDERS OF SUCCESSION

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

### H4-1 Leadership Succession for District 6

*NDOT Operations Tab H Table 4 - District 8 Orders of Succession*

#### District 6 – ERG Chief

Succession	Title	Name	ALTERNATE
<b>Primary</b>	District Engineer District 6	Gary Thayer	Mark Kovar
<b>1st Order</b>	District Operations Maintenance Manager	Roger Klasna	Bob Hilton
<b>2nd Order</b>	District Construction Engineer	Cameron Craig	Thomas Thornton
<b>3rd Order</b>	Delivery Engineer	Thomas Thornton	Kelvin Arent

## **H5-1 Delegation of Authority for District 6.**

No Delegation of Authority is needed. Follow Orders of Succession.

## **H-6: ESSENTIAL RECORDS AND RESOURCES**

### **H6-1 Essential Records Identified for DISTRICT SIX Support**

As Built Plans and project documents. - Provided by OCIO

### **H6-2 Access to Essential Records and Data during a Continuity Activation**

Provided by OCIO

### **H6-3 Financial Resources and Budgeting**

Provided by *NDOT Controller Division*

### **H6-4 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

- Mobile cell towers - provided by OCIO
- Additional equipment (dozer's, loaders, trucks or trailers) leased
- Additional traffic control devices - rented
- Mobile command centers - provided by NDOT or Contracted
- Air support service - Department of Aeronautics

## **H-7: DRIVE-AWAY KITS / EQUIPMENT CACHES**

### **H7-1 Drive-Away Kits Supporting District 6 Functions**

*See evacuation plans*

### **H7-2 Equipment Cache(s) Supporting District 6 Functions**

**See evacuation plans**

## **H-8: CONTINUITY COMMUNICATIONS**

### **H8-1 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing necessary functions during a continuity event.

#### ***NDOT Operations Tab H Table 5 - District 6 Communications Capabilities***

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	one per 2 users	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	6 for HQ	Provided through OCIO
Printer/Scanner/Copier/Fax	3 for HQ	Provided through OCIO
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
LINK/Skype for Business	Each Computer	Provided through OCIO
NDOT Specific Applications	Each Computer	Provided through OCIO
GIS application	Each Computer	Provided through OCIO
MicroStation	Each Computer	Provided through OCIO
Webex	Each computer	Provided through OCIO

## **H-9: SITE SUPPORT PROCEDURES**

### **H9-1 Alternate Facility Site Support Procedures**

To be determined by evacuation plans and incident.

## **H-10: Contact Roster**

### **H10-1 District 6 Contact Roster**

NDOT EMERGENCY NOTIFICATION AND REPORTING PROCEDURES

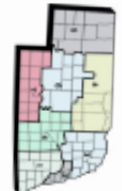


USING THE FOLLOWING CONTACTS FOR District Six Emergencies only not for public use

**MULLEN AREA OFFICE ..... 308-546-2241**  
 P-25 # NDOT 650  
 Area Superintendent  
 Sonny Scott  
 308-530-7445 (Cellular)  
[sonny.scott@nebraska.gov](mailto:sonny.scott@nebraska.gov)

**NDOT 651**  
 Area Supervisor - Mullen  
 Ross Bryant  
 308-546-9217 (Cellular)

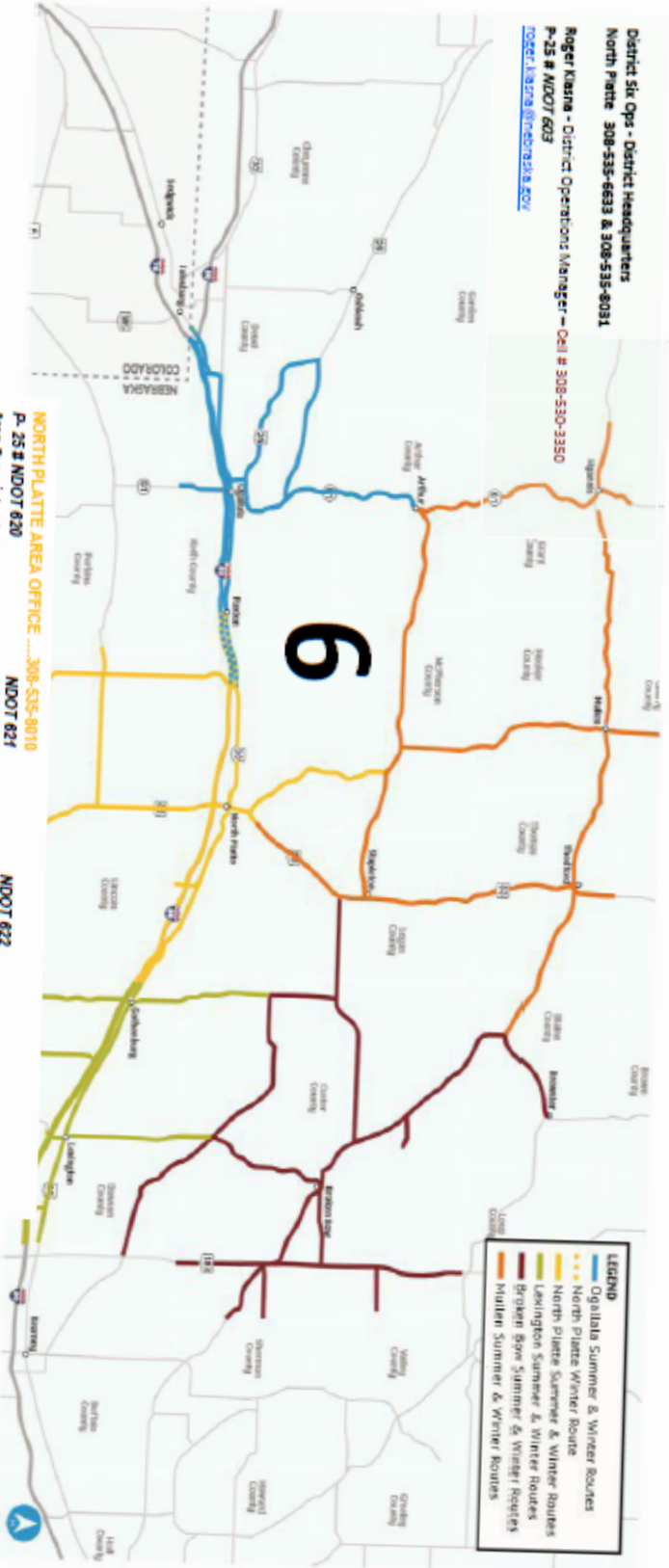
**NDOT 652**  
 Area Supervisor - Stapleton  
 Brett Bennel  
 308-221-0209 (Cellular)



**BROKEN BOW AREA OFFICE..... 308-872-8733**  
 P-25 # NDOT 640  
 Area Superintendent  
 Andy Crickin  
 308-870-2957 (Cellular)  
[andy.crickin@nebraska.gov](mailto:andy.crickin@nebraska.gov)

**NDOT 641**  
 Area Supervisor  
 Clifford Bryan  
 308-870-2957 (Cellular)

**District Six Ops - District Headquarters**  
 North Platte 308-535-6633 & 308-535-8031  
 Roger Kisma - District Operations Manager - Cell # 308-530-3350  
 P-25 # NDOT 603  
[roger.kisma@nebraska.gov](mailto:roger.kisma@nebraska.gov)



**NORTH PLATTE AREA OFFICE ..... 308-535-8010**  
 P-25 # NDOT 620  
 Area Superintendent  
 Pam Garrett  
 308-530-3319 (Cellular)  
[pam.garrett@nebraska.gov](mailto:pam.garrett@nebraska.gov)

**NDOT 621**  
 Area Supervisor  
 Lynn Fryer  
 308-530-3320 (Cellular)

**NDOT 622**  
 I-80 Supervisor  
 Gary Lopez  
 308-530-3318 (Cellular)

**OGALLALA AREA OFFICE ..... 308-284-8070**  
 P-25 # NDOT 600  
 Area Superintendent  
 Bob Hillon  
 308-289-1659 (Cellular)  
[bob.hillon@nebraska.gov](mailto:bob.hillon@nebraska.gov)

**NDOT 631**  
 Area Supervisor - Ogallala  
 Kennell Foster  
 308-539-4039 (Cellular)

**NDOT 632**  
 Area Supervisor - Big Springs  
 Cody Armstrong  
 308-660-0845 (Cellular)

**LEXINGTON AREA OFFICE ..... 308-324-3885**  
 P-25 # NDOT 610  
 Area Superintendent  
 Sherman (Art) Koger  
 308-325-2501 (Cellular)  
[art.koger@nebraska.gov](mailto:art.koger@nebraska.gov)

**NDOT 611**  
 Area Supervisor - Lexington  
 Shane Houchin  
 308-325-9581 (Cellular)

**NDOT 612**  
 Area Supervisor - Gothenburg  
 Bryan Baker  
 308-529-1143 (Cellular)



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## ***TAB G – District 7***

### **G-1: EMERGENCY RELOCATION GROUP**

This TAB identifies MEFs, essential staff and their assigned responsibilities, and information specific to **District 7** business unit within NDOT.

District 7 mission-essential function:

G-1 List MEFs.

#### **G1-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Annex 10 and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

#### **G1-2 Notification Procedures**

Activation of District 7 Mission Essential Functions will be directed by the District 7 ERG Chief when activated by NDOT Sr. Leadership after the Governor orders the activation of continuity operations. Essential staff identified to support District 7 will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations Base Plan.

##### **ERG Chief Responsibilities**

When ordered to activate, the District 7 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 7 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

**A1-1 Emergency Relocation Group Members**

The [MEF] ERG team is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM -1
  - District Operations Center Manager- 1
  - Administrative Assistant 1- 1
  - Assistant District Construction Engineer
- B. Staff Titles
  - Staff Assistant -1
  - ROW Permit Officer
  - IT Support- 1

**[Agency Acronym] Tab A-1 Table 1: [Tab Name] ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Kelly Doyle	<b>ERG Chief</b>	Coordinate functional operations of the district.
Drew Wilson <i>District Construction Engineer</i>	ERG Member	Coordinate district construction activities
Brad Geisler <i>District Mechanic</i>	ERG Member	Coordinate district equipment
Margaret Repass Administrative Assistant	ERG Member	Coordinate district administrative activities

**B-2: ALTERNATE FACILITY**

**A1-2 Primary Facility**

NDOT District 7 Headquarters  
619 Auditorium Drive, McCook, NE 69001

**A1-3 Location of Alternate Facilities**

The ERG Chief for District 7 will direct essential staff where and when to report once activated for continuity operations.

The ERG Chief will coordinate all internal/external communications functions with staff working at an alternate facility and staff approved to support District 7

NDOT

functions remotely using telework procedures.

NDOT District 7 has identified the McCook Maintenance Yard to serve as an alternate facilities for continuity operations when the primary facility is unavailable. The Operations Center will move to the State Operations Center.

McCook Maintenance Yard 38764 US Highway 6, McCook, NE 69001

### **B-3: MISSION-ESSENTIAL FUNCTIONS (MEF)**

#### **A1-4 Mission-Essential Function Objective**

#### **A1-5 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 7 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Administering and managing activities, operations and programs assigned to the district.
	Coordinating functional operations within the district.
	Maintain and operate a District Operations Center and associated intelligent transportation devices.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies
	Provide normal highway maintenance. Coordinate traffic incident management.
	Winter operations.
	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.

	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.
	Providing normal highway maintenance. Providing emergency maintenance as needed.
	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.
	Issuing or recommending miscellaneous permits as necessary.

**A1-6 Mission-Essential Function Assignments**

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 7	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 7	Coordinating functional operations within the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB G: District 7

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 7	Maintaining liaison between the Department and contractors, utilities, cites, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (4) Staff Assist (4)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Maintenance Superintendent (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Winter operations	DE (1) DOMM (1)  Maintenance Superintendent (2) Maintenance Supervisor (7)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 7	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	DOMM (1) Maintenance Superintendent (2) Maintenance Supervisor (7) Staff Assist (4)	Phones, cell phones, email, fax, Computers/Laptops, printers

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Continuity of Operations Plan

Annex 10: Operations Division

NDOT

TAB G: District 7

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 7	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DCE (1) DOMM (1) Admin Assist(1) Project Managers (4) Staff Assist (4) Maintenance Superintendent (2) Maintenance Supervisor (7)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
<b>One-Month Mission-Essential Functions</b>			
District 7	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Providing normal highway maintenance. Providing emergency maintenance as needed.	DOMM (1) Maintenance Superintendent (2) Maintenance Supervisor (7)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Responding to and coordinating with state and local agencies on traffic incident management.	DOMM (1) Maintenance Superintendent (2) Maintenance Supervisor (7)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory

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ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 7	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanic (3)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 7	Providing maintenance and repair services for equipment and buildings	DOMM (1) Maintenance Superintendent (1) District Mechanic Supervisor (1) Mechanic (11)	Phones, cell phones, email, fax, Computers/Laptops, printers Mechanic repair Tools  Calling Tree – Code Agencies Contact List  State Directory

**B-4: ORDERS OF SUCCESSION**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**A1-7 Leadership Succession for [Tab Name]**

**[Agency Acronym] Tab A-1 Table 2: [Tab Name] Orders of Succession**

<b>[Tab or Division Name] – ERG Chief</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District Engineer District 7	Kurt Vosburg
<b>1st Order</b>	District Construction Engineer	Drew Wilson
<b>2nd Order</b>	District Operations Maintenance Manager	Kelly Doyle

**B-5: DELEGATION OF AUTHORITY**

**A1-8 Delegation of Authority for Administrative Services**

The signed Delegation of Authority Letter for the [Agency Acronym] [Tab Name] is maintained in [insert location of Delegation of Authority Letters].

**B-6: ESSENTIAL RECORDS AND RESOURCES**

**A1-9 Essential Records Identified for [Tab Name] Support**

**A1-10 Access to Essential Records and Data During a Continuity Activation**

**A1-11 Financial Resources and Budgeting**

See *Error! Reference source not found.*

**A1-12 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

- [None Identified]

**B-7: DRIVE-AWAY KITS / EQUIPMENT CACHES**

**A1-13 Drive-Away Kits Supporting [Tab Name] Functions**

[TBD]

**A1-14 Equipment Cache(s) Supporting [Tab Name] Functions**

[TBD]



## **B-8: CONTINUITY COMMUNICATIONS**

### **A1-15 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing [Tab functions] during a continuity event.

**[Agency Acronym] Tab A-1 Table 3: [Tab Name] Communications Capabilities**

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

## **B-9: SITE SUPPORT PROCEDURES**

### **A1-16 Alternate Facility Site Support Procedures**

See *Error! Reference source not found.*

## **B-10: Contact Roster**

### **A1-17 District 7 Contact Roster**

**Table 1. Staff Roster**

NAME	TITLE/AREA OF RESPONSIBILITY	COOP ROLE		OFFICE PHONE	HOME PHONE	MOBILE
		CST	ERG			

Kurt Vosburg	701	308-340-8132	308-340-0005	District Engineer		
Kelly Doyle	703	308-340-8130	308-340-8453	Dist Operations & Maintenance Manager- Primary Contact		
Drew Wilson	702	308-340-2584	308-340-7692	District Construction Engineer		
Clint Collicott	710	308-991-2424	308-340-9135	<u>Area Superintendent- Holdrege</u> Alternate Contact		
Kerry Scott	720	308-340-7316	308-340-8328	<u>Area Superintendent- McCook</u> Alternate Contact		
Brad Geisler	704	308-340-6929	308-340-1568	District Mechanic		
Margaret Repass		308-345-8490		Administrative Assistant		

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## ***TAB H – District 8***

### **H-1: EMERGENCY RELOCATION GROUP**

This TAB identifies MEFs, essential staff and their assigned responsibilities, and information specific to **District 8** business unit within NDOT.

District 8 mission-essential function:

#### **H1-1 List MEFs.**

#### **H1-2 Emergency Relocation Group Responsibilities**

Prior to a continuity activation essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Annex 10 and MEFs annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support administrative functions.
- Develop, compile, and maintain updated standard operating procedures to support administrative functions.

#### **H1-3 Notification Procedures**

Activation of District 8 Mission Essential Functions will be directed by the District 8 ERG Chief when activated by Agency Sr. Leadership after the Governor orders the activation of continuity operations. Essential staff identified to support District 8 will follow the alert and notification procedures outlined in Section IV of the NDOT Continuity of Operations Base Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the District 8 ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

The District 8 ERG Chief will then notify the essential staff (ERG/CST members) identified in this tab to inform them of situation and activation of continuity operations.

### H1-4 Emergency Relocation Group Members

The [MEF] ERG team is derived from the following job titles and functions:

- A. Leadership Titles
  - DOMM -1
  - Administrative Assistant 1- 1
  - District Construction Engineer
- B. Staff Titles
  - ROW Permit Officer
  - IT Support- 1

**NDOT Operations Tab H-1 Table 1: District 8 ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Corvin Hinrichs DOMM	ERG Chief	Coordinate functional operations of the district.
Jason Lehn Construction Engineer	ERG Member	Coordinate district construction activities.
Erin Allen Administrative Assistant	ERG Member	Coordinate district administrative activities

## H-2: ALTERNATE FACILITY

### H2-1 Primary Facility

NDOT District 8 Headquarters  
736 4<sup>th</sup> Street Ainsworth NE 69210

### H2-2 Location of Alternate Facilities

The ERG Chief for District 8 will direct essential staff where and when to report once activated for continuity operations.

The ERG Chief will coordinate all internal/external communications functions with staff working at an alternate facility and staff approved to support District 8 functions remotely using telework procedures.

NDOT District 8 has identified O`Neill, Springview and Valentine Maintenance Yards to serve as an alternate facilities for continuity operations when the primary facility is unavailable.

O`Neill Maintenance yard 404 W Douglas st O`Neill NE 68763  
Springview Maintenance Yard 306 N Main Street Springview NE 68778



**H-3: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**H3-1 Mission-Essential Function Objective**

**H3-2 Mission-Essential Function Priority**

**Tab H Table 2 - One-day, One-Week, and One-Month Mission-Essential Functions**

Item	DISTRICT 8 MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b><u>One Day</u></b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Administering and managing activities, operations and programs assigned to the district.
	Coordinating functional operations within the district.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b><u>One Week</u></b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies
	Provide normal highway maintenance. Coordinate traffic incident management.
	Winter operations.
	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.
	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b><u>One Month</u></b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>
	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.

	Providing normal highway maintenance. Providing emergency maintenance as needed.
	Responding to and coordinating with state and local agencies on traffic incident management. Providing maintenance and repair services for equipment and buildings.
	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.
	Issuing or recommending miscellaneous permits as necessary.

**H3-3 District 8 Mission-Essential Function Assignments**

**Tab H Table 3 - Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
District 8	Administering and managing activities, operations and programs assigned to the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 8	Coordinating functional operations within the district.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Week Mission-Essential Functions</b>			
District 8	Maintaining liaison between the Department and contractors, utilities, cities, counties, and the general public and other State agencies	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
District 8	Provide normal highway maintenance. Coordinate traffic incident management.	DOMM (1) Maintenance Superintendent (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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Continuity of Operations Plan  
Annex 10: Operations Division

NDOT

TAB H: District 8

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 8	Winter operations	DOMM (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 8	Providing and maintaining a communication system. Providing and maintaining necessary traffic control devices. Requisitioning necessary materials and supplies.	Maintenance Superintendent (1) Maintenance Supervisor (1) Staff Assist (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
District 8	Providing construction supervision and maintenance for all state highways in the District. Receiving and responding to inquiries, concerns and complaints from the public.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1) Project Managers (3) Staff Assist (1) Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory
<b>One-Month Mission-Essential Functions</b>			
District 8	Maintaining contacts with staff Divisions at the Central Headquarters and providing reports and information as may be requested.	District Engineer (1) DOMM (1) DCE (1) Admin Assist(1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List State Directory

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Continuity of Operations Plan  
Annex 10: Operations Division

NDOT

TAB H: District 8

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
District 8	Providing normal highway maintenance. Providing emergency maintenance as needed.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 8	Responding to and coordinating with state and local agencies on traffic incident management.	Maintenance Superintendent (1) Maintenance Supervisor (1)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 8	Maintaining an appropriate stock of parts for equipment. Providing complete maintenance records.	District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 8	Issuing or recommending miscellaneous permits as necessary	DOMM (1) District ROW permit Officer (1) Staff Assist (1).	Phones, cell phones, email, fax, Computers/Laptops, printers  Calling Tree – Code Agencies Contact List  State Directory
District 8	Providing maintenance and repair services for equipment and buildings	Maintenance Superintendent (1) District Mechanic Supervisor (1) Mechanic (2)	Phones, cell phones, email, fax, Computers/Laptops, printers Mechanic repair Tools  Calling Tree – Code Agencies Contact List  State Directory

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## **H-4: ORDERS OF SUCCESSION**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for MEFs will fall to the successor in the order listed below when the primary person is unable to perform their duties.

### **H4-1 Leadership Succession for District 8**

*NDOT Operations Tab H Table 4 - District 8 Orders of Succession*

<b>[Tab or Division Name] – ERG Chief</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	District Engineer District 8	Mark Kovar
<b>1st Order</b>	District Construction Engineer	Jason Lehn
<b>2nd Order</b>	District Operations Maintenance Manager	Corvin Hinrichs
<b>3rd Order</b>	Ainsworth Superintendent	Chuck Osborn

## **H-5: DELEGATION OF AUTHORITY**

### **H5-1 Delegation of Authority for Administrative Services**

The signed Delegation of Authority Letter for the [Agency Acronym] [Tab Name] is maintained in [insert location of Delegation of Authority Letters].

## **H-6: ESSENTIAL RECORDS AND RESOURCES**

### **H6-1 Essential Records Identified for [Tab Name] Support**

### **H6-2 Access to Essential Records and Data during a Continuity Activation**

### **H6-3 Financial Resources and Budgeting**

See *Error! Reference source not found.*

### **H6-4 Additional Resource Requirements**

Additional office equipment and supplies needed to support administrative support functions include:

- [None Identified]

**H-7: DRIVE-AWAY KITS / EQUIPMENT CACHES**

**H7-1 Drive-Away Kits Supporting District 8 Functions**

To be determined

**H7-2 Equipment Cache(s) Supporting District 8 Functions**

To be determined

## **H-8: CONTINUITY COMMUNICATIONS**

### **H8-1 Communications Requirements**

The following communications capabilities have been identified to support essential staff performing [Tab functions] during a continuity event.

***NDOT Operations Tab H Table 5 - District 8 Communications Capabilities***

<b>[Tab/Division Name] Communications Capabilities</b>		
<b>Communication Capabilities</b>	<b>Quantity</b>	<b>Source</b>
Computers	#	Provided through OCIO
Images for configuring computers	Each computer	Provided through OCIO
Internet Connectivity	Each computer	Provided through OCIO
State Network Connectivity	Each Computer	Provided through OCIO
Mapping to network shared drive	Each User	Provided through OCIO
Phones (Landline and/or Cell)	#	Provided through OCIO
Printer/Scanner/Copier/Fax	#	
<b>Applications</b>	<b>Quantity</b>	<b>Source</b>
Microsoft Office Suite (Word, Excel, PowerPoint)	Each computer	Provided through OCIO
Web browser (Internet Explorer/Firefox/Chrome)	Each User	Provided through OCIO
Outlook Mail	Each Computer	Provided through OCIO
Lynk/Skype for Business	Each Computer	Provided through OCIO
List Applications to support this TAB/MEF		

## **H-9: SITE SUPPORT PROCEDURES**

### **H9-1 Alternate Facility Site Support Procedures**

To be determined.

## **H-10: Contact Roster**

### **H10-1 District 8 Contact Roster**

Table 1. Staff Roster

## NDOT EMERGENCY NOTIFICATION AND REPORTING PROCEDURES

**USING THE FOLLOWING CONTACTS. Emergencies only not for Public**

State Operations Center, SOC Lincoln [402] 479- 4444

1-11-2019

### AINSWORTH AREA

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
Shaun Emerson	Chuck Osborn	J.D Hoover
Bus: (402)-387-2472	Bus: (402)-387-2472	Bus: (402) 387-2472
	Res: (402) -382-0413	Res: (402) - 387-2557
Cell: (402)-382-5241	Cell: (402)- 822-0747	Cell: (402) - 387-2557
Radio: 811	Radio: 810	Radio: 8105
<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>	
Corvin Hinrichs	Mark Kovar	
Bus: (402)-387-2471	Bus: (402)-387-2471	
Res: (402)-387-1041	Res: (402)-382-3403	
Cell: (402)-760-1484	Cell: (402)-760-0952	
Radio: 803	Radio: 801	



**O'NEILL AREA**

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
<b>Tanya Marcellus</b>	<b>Rob Lowe</b>	<b>Bill Timmerman</b>
<b>Bus: (402)-336-2051</b>	<b>Bus: (402)-336-2051</b>	<b>Bus: (402)-336-2051</b>
<b>Cell: (402)-340-0826</b>	<b>Res: (308)-750-1471</b>	<b>P Cell: (402)-336-4997</b>
<b>P Cell: (402)-336-7395</b>	<b>Cell: (402)-340-2254</b>	<b>Radio: 8211</b>
<b>Radio: 821</b>	<b>Radio: 820</b>	

<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>
<b>Corvin Hinrichs</b>	<b>Mark Kovar</b>
<b>Bus: (402)-387-2471</b>	<b>Bus: (402)-387-2471</b>
<b>Res: (402)-387-1041</b>	<b>Res: (402)-382-3403</b>
<b>Cell: (402)-760-1484</b>	<b>Cell: (402)-760-0952</b>
<b>Radio: 803</b>	<b>Radio 801</b>

**BURWELL AREA**

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
<b>Trent Plugge</b>	<b>Brian Bowley</b>	<b>Rob Lowe</b>
<b>Bus: (308)-346-4250</b>	<b>Bus: (308)-346-4250</b>	<b>Bus: (402)-336-2051</b>
<b>Res: (308)-346-4261</b>	<b>Cell: [308] - 750-0350</b>	<b>Res: (308)-750-1471</b>
<b>Cell: (402)-750-2325</b>	<b>Radio: 8238</b>	<b>Cell: (402)-340-2254</b>
<b>Radio: 823</b>		<b>Radio: 820</b>

<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>
<b>Corvin Hinrichs</b>	<b>Mark Kovar</b>
<b>Bus: (402)-387-2471</b>	<b>Bus: (402)-387-2471</b>
<b>Res: (402)-387-1041</b>	<b>Res: (402)-382-3403</b>
<b>Cell: (402)-760-1484</b>	<b>Cell: (402)-760-0952</b>
<b>Radio: 803</b>	<b>Radio: 801</b>

**SPENCER AREA**

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
<b>Mike Haney</b>	<b>Bob Sittre</b>	<b>Rob Lowe</b>
<b>Bus: (402)-589-1340</b>	<b>Bus: (402)-589-1340</b>	<b>Bus: (402)-336-2051</b>
<b>Res: (402) -340-0967</b>	<b>Res: (402)- 340-9376</b>	<b>Res: (308)-750-1471</b>
<b>Cell: (402)-340-0827</b>	<b>Radio: 8223</b>	<b>Cell: (402)-340-2254</b>
<b>Radio: 822</b>		<b>Radio: 820</b>

<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>
<b>Corvin Hinrichs</b>	<b>Mark Kovar</b>
<b>Bus: (402)-387-2471</b>	<b>Bus: (402)-387-2471</b>
<b>Res: (402)-387-1041</b>	<b>Res: (402)-382-3403</b>
<b>Cell: (402)-760-1484</b>	<b>Cell: (402)-760-0952</b>
<b>Radio: 803</b>	<b>Radio: 801</b>

**VALENTINE AREA**

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
<b>Duane Bellin</b>	<b>Dennis Connot</b>	<b>Jess Ravenscroft</b>
<b>Bus: (402)-376-1350</b>	<b>Bus: (402)-376-1350</b>	<b>Bus: (402)-376-1350</b>
	<b>Res: (402)-376-3400</b>	<b>Cell: (402)-376- 6590</b>
<b>Cell: (402)-376- 6834</b>	<b>Cell: (402)-389-1645</b>	<b>Radio: 8311</b>
<b>Radio: 831</b>	<b>Radio: 830</b>	

<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>
<b>Corvin Hinrichs</b>	<b>Mark Kovar</b>
<b>Bus: (402)-387-2471</b>	<b>Bus: (402)-387-2471</b>
<b>Res: (402)-387-1041</b>	<b>Res: (402)-382-3403</b>
<b>Cell: (402)-760-1484</b>	<b>Cell: (402)-760-0952</b>
<b>Radio: 803</b>	<b>Radio: 801</b>

**MERRIMAN AREA**

<u>Principal Contact</u>	<u>1<sup>st</sup> Alternate Contact</u>	<u>2<sup>nd</sup> Alternate Contact</u>
<b>Justin Meeks</b>	<b>Don Marrs</b>	<b>Dennis Connot</b>
<b>Bus: (308)-684-3360</b>	<b>Bus: (308)-684-3360</b>	<b>Bus: (402)-376-1350</b>
<b>Res: (308)-360-1033</b>	<b>cell: (308)-615-0020</b>	<b>Res: (402)-376-3400</b>
<b>Cell: (308)-322-3592</b> <b>832</b>	<b>Radio: 8321</b>	<b>Cell: (402)-389-1645</b> <b>Radio:</b> <b>Radio: 830</b>
<u>3<sup>rd</sup> Alternate Contact</u>	<u>4<sup>th</sup> Alternate Contact</u>	
<b>Corvin Hinrichs</b>	<b>Mark Kovar</b>	
<b>Bus: (402)-387-2471</b>	<b>Bus: (402)-387-2471</b>	
<b>Res: (402)-387-1041</b>	<b>Res: (402)-382-3403</b>	
<b>Cell: (402)-760-1484</b>	<b>Cell: (402)-760-0952</b>	
<b>Radio: 803</b>	<b>Radio: 801</b>	

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# NEBRASKA

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**DEPARTMENT OF TRANSPORTATION**

## **CONTINUITY OF OPERATIONS PLAN**

### **Annex K: Project Development Division**

**September 2022**

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex K: Project Development Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

This Appendix lists the mission-essential functions and resources needed for the NDOT Program Development Division. Table 1 illustrates the mission-essential functions that need to occur during the first day, within a week, and within a month of a disruption requiring a COOP activation. Table 2 illustrates the organizational unit, the personnel and the resources needed to carry out each mission-essential function.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	PROJECT DEVELOPMENT DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	<i>Provide Division support for overall NDOT operations.</i>
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Preparing, negotiating, and administering agreements for consultants and local public agencies. Approving payments for consultants and local public agencies.</i>
	<i>Obtaining environmental approvals or concurrences (e.g.; National Environmental Policy Act – NEPA, Agreements/Memorandums of Agreement, alternatives and environmental impact analysis, etc.) from local, state and federal agencies, as well as permits (Section 404, floodplain) from regulatory agencies.</i>
	<i>Coordinate additional survey requests for projects being actively designed.</i>
	<i>Providing scoping documents and corridor studies on selected highway projects.</i>

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Project Development Division	Monitor status of Division’s essential functions and report to Administration.	Project Development Engineer (1)	Cell phone, email, laptop, internet access Contact List

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Annex K: Project Development Division

Project Development Division	Communicate and coordinate with other NDOT Divisions, FHWA and local agencies regarding status of	Environmental Section Manager (1) Highway Agreements Technician (1)	Cell phone, email, laptop, internet access  Contact List
Project Development Division	Communicate and coordinate with OCIO to maintain access to mission-critical systems	Assistant Agreements Engineer (1) Project Studies & Survey Engineer (1)	Cell phone, email, laptop, internet access  Contact List

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Week Mission-Essential Functions</b>			
<b>One-Month Mission-Essential Functions</b>			
Project Development Division	Monitor status of Division's essential functions and report to Administration	Project Development Engineer (1) Highway Agreements Technician (1)	Cell phone, email, laptop, internet access
Project Development Division	Communicate and coordinate with Project Delivery and District Personnel	Project Studies & Survey Engineer (1) Hwy Geodetic Field Supervisor (1)	Cell phone, email, laptop, internet access
Project Development Division	Preparing, negotiating, and administering agreements for consultants and local public agencies. Approving payments for consultants and local public agencies.	Consultant Services Engineer (1) Assistant Agreements Engineer (1)	Cell phone, email, laptop, internet access  On-Base access

Continuity of Operations Plan

NDOT

Annex K: Project Development Division

Project Development Division	Obtaining environmental approvals From local, state and federal agencies, as well as permits from regulatory agencies.	NDOT Environmental Section Manager, NDOT Environmental Unit Managers (3)	Cell phone, email, laptop, internet access  On-Base access
Project Development Division	Coordinate additional survey requests for projects being actively designed.	Project Studies & Survey Engineer (1) Hwy Geodetic Field Supervisor (1)	Cell phone, email, laptop, internet access
Project Development Division	Provide scoping documents on selected highway projects.	Project Studies & Survey Engineer (1)	Cell phone, email, laptop, internet access

**1-3 Mission-Essential Function Procedures**

The procedures required to perform each mission-essential function included in this annex can be cross-reference to division standard operating procedures and any applicable program or operational manuals.

**1-4 Mission-Essential Function Partners and Interdependencies**

At this time, there are no external partners and Interdependencies for each mission-essential function included in this annex.

- A. NDOT Internal Partners
  - NDOT Divisions and Districts
- B. Federal Partners
- C. State of Nebraska Partners
- D. External Partners
- E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Project Development Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Project Development Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Project Development Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Project Development Division will be directed by the Project Development Engineer the NDOT Director makes the determination to activate continuity operations. Project Development Engineer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Project Development Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Project Development Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- The leadership titles for the mission-essential functions included in this annex are listed in Appendix 2 Table 1.

#### **B. Staff Titles**

- The staff titles for the mission-essential functions included in this annex are listed in Appendix 2 Table 1.

- *<Example: Attorney III (2), licensed to practice law in Nebraska, experience with regulatory oversight of insurance industry and prosecuting cases.>*

**NDOT Annex K-Appendix 2 Table 1: Project Development Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Brandie Neemann <i>Project Development Engineer</i>	ERG Chief	Authority. Review & approve PD Continuity Annex. Begin notification cascade. Oversee and approve all PD mission-essential functions.
Randy EIDorado <i>Consultant Services Engineer</i>	ERG Member	Contact Agreements supervisors. All mission-essential Agreements functions.
Jason Jurgens <i>Environmental Section Manager</i>	ERG Member	Contact Environmental supervisors. All mission-essential Environmental functions.
Todd Hill <i>Project Studies &amp; Survey Engineer</i>	ERG Member	Contact Scoping and Survey supervisors in Central Complex. All mission-essential Scoping/Survey functions.
Brad Reid <i>Assistant Agreements Engineer</i>	ERG Member	All mission-essential Agreement billing functions
Sandra Knippelmeyer <i>Highway Agreements Technician</i>	ERG Member	All mission-essential billing and miscellaneous division functions.
Ron Slepicka <i>Highway Geodetic Field Supervisor</i>	ERG Member	Contact all mission-essential Survey functions located at 5001 S. 14th St.

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Project Development Division**

*NDOT Annex K-Appendix 3 Table 1: Orders of Succession*

<b>Project Development Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
Primary	Project Development Engineer	Brandie Neemann
1st Order	Environmental Section Manager	Jason Jurgens
2nd Order	Consultant Services Engineer	Randy EIDorado
3rd Order	Scoping Engineer	Todd Hill

**3-2 Delegation of Authority for Project Development Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Project Development Division  
1500 Building  
Lincoln, NE 68508

### **4-2 Location of Alternate Facilities**

NDOT Project Development Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the [alternate facility name] to serve as an alternate facility for continuity operations when the primary facility is unavailable.

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Project Development Division the alternate facility must provide at minimum:

The requirements for a space to adequately support the staff and customers for each mission-essential function identified in this annex will be determined at the time of the initial activation of the COOP Plan.

- The workspace requirements to accommodate the mission-essential functions included in this annex will be determined at the time of the initial activation of the COOP Plan.
- The parking accommodation requirements to accommodate the staff and if applicable the customers access services will be determined at the time of the initial activation of the COOP Plan.
- Any additional site support accommodations requirements to support mission-essential functions at the alternate facility will be determined at the time of the initial activation of the COOP Plan.
- ADA Compliance
- Sufficient power/water and communications infrastructure

### **4-4 Alternate Facility Site Support Procedures**

The procedures required to prepare the workspace for staff specifically supporting the mission-essential functions identified in this annex will be determined at the time of the initial activation of the COOP Plan.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Project Development Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- Divisions/NDOT/FHWA Contact List
- Scoping Estimate Tracking Spreadsheet

### **5-2 Essential Data Identified for Project Development Division**

- OnBase
- ProjectWise
- NDOT PD Server
- NDOT C1 & IHI Mainframe
- ARCGIS

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Project Development Engineer will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Project Development Engineer will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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**APPENDIX 6: EQUIPMENT and RESOURCES**

**6-1 Financial Resources and Budgeting**

NDOT Project Development Engineer will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

**6-2 Equipment and Resources Identified to Support Continuity Operations**

A list of Equipment and Resources required to support the functions identified in this Annex will be determined at the time of the initial activation of the COOP Plan.

**6-3 Drive-Away Kits Supporting Project Development Division**

No Drive-Away kits are not applicable.

**6-4 Equipment Cache(s) Supporting Project Development Division**

Equipment Cache(s) are not applicable.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex K-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Brandie Neemann	Project Development Engineer	402-479-4795	402-440-7985	402-420-7607	<a href="mailto:brandie.neemann@nebraska.gov">brandie.neemann@nebraska.gov</a>
Randy EIDorado	Consultant Services Engineer	402-479-4778	402-310-8695	402-310-8695	<a href="mailto:randy.eldorado@nebraska.gov">randy.eldorado@nebraska.gov</a>
Jason Jurgens	Environmental Section Manager	402-479-4418	402-430-2518	402-430-2518	<a href="mailto:jason.jurgens@nebraska.gov">jason.jurgens@nebraska.gov</a>
Todd Hill	Scoping Engineer	402-479-4421	605-929-5902	605-929-5902	<a href="mailto:todd.hill@nebraska.gov">todd.hill@nebraska.gov</a>
Brad Reid	Assistant Agreements Engineer	402-479-3566	402-540-1337	402-540-1337	<a href="mailto:brad.reid@nebraska.gov">brad.reid@nebraska.gov</a>
Sandra Knippelmeyer	Highway Agreements Technician	402-479-4795	402-430-5843	402-421-2302	<a href="mailto:sandra.knippelmeyer@nebraska.gov">sandra.knippelmeyer@nebraska.g ov</a>

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Continuity of Operations Plan

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Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Ron Slepicka	Highway Geodetic Field Supervisor	402-479-4341	402-416-4109	402-416-4109	<a href="mailto:ron.slepicka@nebraska.gov">ron.slepicka@nebraska.gov</a>
Wendy Austin	Highway Environmental Biologist	402-479-3632	518-810-1827	518-810-1827	
Kimberly Baker	Highway Environmental Biologist	402-479-4544	515-231-6593	515-231-6593	
Jon Barber	Environmental Documents Manager	402-479-4412	402-440-4999	402-792-2958	<a href="mailto:jon.barber@nebraska.gov">jon.barber@nebraska.gov</a>
John Buhrmann	Environmental Documents Manager	402-479-4696	402-802-8679	402-802-8679	
Zach Cunningham	Highway Environmental Biologist	402-479-4464	402-314-1688	402-314-1688	
Dillon Dittmer	Technical Documents Manager	402-479-4411	402-540-4973	402-540-4973	<a href="mailto:dillon.dittmer@nebraska.gov">dillon.dittmer@nebraska.gov</a>
Brett Harbison	Highway Environmental Biologist	402-479-3818	570-560-0058	570-560-0058	
Jeff Hartman	Highway Environmental Biologist	402-479-4768	402-276-3038	402-276-3038	
Caroline Jezierski	Highway Environmental Biologist	402-479-4415	402-426-4024	402-429-4024	
Katie Krajicek	Highway Environmental	402-479-3812	402-708-9275	402-708-9275	

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Name	Title	Business Phone	Cell Phone	Alt Phone	Email
	Biologist				
Kyle Liebig	Highway Environmental Biologist	402-479-4890	402-910-8102	402-910-8102	
Will Packard	Highway Environmental Biologist	402-479-4312	307-575-3341	307-575-3341	
Luke Pitts	Highway Environmental Biologist	402-479-3567	785-760-7072	785-760-7072	
Tony Ringenberg	Highway Environmental Biologist	402-479-4410	402-301-4539	402-301-4539	
Ron Poe	Roadside Development & Compliance Manager	402-479-4499	402-430-4503	402-474-5563	
Blayne Renner	Highway Environmental Biologist	402-479-4839	402-730-7948	402-730-7948	
Gabe Robertson	Highway Environmental Biologist	402-479-4685	402-202-8469	402-502-7437	
Mary Schroer	Highway Environmental Biologist	402-479-3969	402-483-0010	402-483-0010	
Shane Sisel	Highway Environmental Biologist	402-479-4656	402-560-8334	402-560-8334	
Nick Soper	Highway Environmental Biologist	402-479-3642	402-202-8199	402-202-8199	

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Annex K: Project Development Division

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Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Stacy Stupka	Highway Environmental Biologist	402-479-3879	402-540-3648	402-540-3648	
Patrick Sward	Highway Environmental Biologist	402-479-3901	402-616-3381	402-554-1276	
Tyler Thayer	Highway Environmental Biologist	402-479-4538	308-650-9989	308-650-9989	
Katie Turner	Highway Environmental Biologist	402-479-3514	402-469-6626	402-469-6626	
Carol Wienhold	Highway Environmental Biologist	402-479-3917	402-310-7946	402-310-7946	
Lori Wiig	Administrative Assistant I	402-479-3668	402-450-5158	402-450-5158	
Roger Yerdon	Highway Environmental Biologist	402-479-4419	402-730-9097	402-730-9097	
Cheryl Cramer	Highway Agreements Specialist	402-479-4779	402-540-4846	402-540-4846	
Rhonda Jamshidi	Highway Agreements Specialist	402-479-4781		402-483-4371	
Dawn Knott	Assistant Agreements Engineer	402-479-4414	402-730-0932	402-486-1964	<a href="mailto:dawn.knott@nebraska.gov">dawn.knott@nebraska.gov</a>

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Continuity of Operations Plan

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Annex K: Project Development Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Barbara Gerbino-Bevins	Scoping Engineer	402-479-4364	402-515-9121	402-515-9121	barbara.gerbin-bevins@nebraska.gov
Korey Donahoo	Project Engineer	402-479-4619	402-730-7357	402-730-7357	
Ray Hurd	Highway Designer	402-479-3945	402-560-3394	402-261-3431	
Shawn Jording	Highway Designer	402-479-4430	308-520-5947	308-520-5947	
Mark Ottemann	Project Engineer	402-479-4684	402-416-6792	402-416-6792	
Jason Amack	Highway Geodetic Crew Supervisor	402-479-3512	402-631-8699	402-631-8699	
Scott Bashore	Geodetic Survey Technician	402-479-3814	402-310-1453	402-310-1453	
Scott Haynes	Highway Total Station Survey Coordinator	402-479-3836	402-430-3142	402-474-0827	
Joseph House	Highway Photogrammetric Technician III	402-479-4865	402-960-1463	402-932-5772	
Justin Huebert	Highway Geodetic Crew Supervisor	402-479-3819	402-525-8221	402-525-8221	
Marc Hyland	Geodetic Survey Technician	402-479-4351	402-430-8884	402-430-8884	
Marshall Krcmarik	Highway Photogrammetric Survey Technician III	402-479-4727	402-217-5858	402-470-3416	
David Meints	Geodetic Survey Technician	402-479-3685	402-525-9239	402-525-9239	
Marsha Munter	Highway Photogrammetric Manager	402-479-4502	402-560-1104	402-560-1104	
John Nahorny	Geodetic Survey Technician	402-479-3819	402-310-7360	402-310-7360	

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Annex K: Project Development Division

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Continuity of Operations Plan

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Annex K: Project Development Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Keith Oden	Highway Aerial Camera Operator	402-479-4351		402-791-2313	
Ron Slepicka	Highway Geodetic Crew Supervisor	402-479-4341	402-416-4109	402-416-4109	
Phillip Sloup	Geodetic Survey Technician	402-479-4351	402-641-6879	402-641-6879	
Doug Sommers	Highway Total Station Survey Coordinator	402-479-4549	402-540-0951	402-780-6770	
Linda Staros	Highway Survey Assistant	402-479-3798	402-613-5000	402-613-5000	
Jon Soper	Highway Environmental Biologist	402-479-3546	402-416-8611	402-416-8611	
Christina Bavougian	Highway Environmental Biologist	402-479-4836	217-691-7709	217-691-7709	
Frank Albrecht	Highway Environmental Program Manager	402-479-4413	402-784-2023	402-540-9864	
Scott Rupe	Highway Environmental Biologist	402-479-3565	402-322-1369	402-322-1369	
Jacob Smith	Highway Environmental Biologist	402-479-3632	402-840-9592	402-840-9592	
Nick Burnham	Highway Environmental Program Manager	402-479-3624	402-450-1304	402-450-1304	
Brock Osborne	Geodetic Survey Technician	402-479-5529	402-643-5293	402-643-5293	
Jacob Reynolds	Geodetic Survey Technician	402-479-3814	402-518-0407	402-518-0407	

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Annex K: Project Development Division

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex L: Program Management Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex L: Program Management Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

Project delivery

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	Program Management DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Program necessary emergency projects
	Schedule and coordinate emergency project delivery schedules with Divisions and
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	In addition to item 1 list
	Obligate federal funds
	Program / schedule non-emergency projects
	Evaluate for EJ impacts and develop communication strategies with those affected
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	In addition to item 1 and 2 lists:
	Develop / update STIP
	Develop and publish Surface Transportation Program Book
	Initiate/deliver projects
	Monitor/manage Civil Rights/EEO programs

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Program Management Division	Monitor status of Division's essential functions and report to Administration.	Program Management Engineer (1)	Cell phone, laptop, internet access
Program Management Division	Communicate and coordinate with other NDOR divisions, FHWA and local agencies regarding status of operations	Highway Program Manager (1)	Cell phone, laptop, internet access

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Annex L: Program Management Division

Program Management Division	Initiate and schedule any construction work necessary to deal with the emergency situation. Communicate and coordinate with District personnel on status of operations	Project Delivery Engineer (1)	Cell phone, laptop, internet access
ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
Program Management Division	Communicate and coordinate with OCIO to maintain access to mission-critical systems	Systems Manager (1)	Cell phone, laptop, internet access
Program Management Division	Evaluate adverse EJ effects	Civil Rights Coordinator (1)	Cell phone, laptop, internet access
One-Week Mission-Essential Functions			
Program Management Division	Monitor status of Division's essential functions and report to Administration.	Program Management Engineer (1)	Cell phone, laptop, internet access
Program Management Division	Program projects and obligate Federal funds.	Highway Program Manager (1)	Cell phone, laptop, internet access
Program Management Division	Initiate and schedule projects. Communicate and coordinate with Delivery and District personnel.	Project Delivery Engineer (1)	Cell phone, laptop, internet access
Program Management Division	Communicate and coordinate with OCIO to maintain access to mission-critical systems	Systems Manager (1)	Cell phone, laptop, internet access
S	Communicate/coordinate with Contractors, NDOT Divisions and FHWA	Civil Rights Coordinator (1)	Cell phone, laptop, internet access

**1-3 Mission-Essential Function Procedures**

S.O.P.'s are being developed and will reside on Program Management's partition on the NDOT server.

**1-4 Mission-Essential Function Partners and Interdependencies**

- A. NDOT Internal Partners – multiple NDOT Divisions
- B. Federal Partners – FHWA, FTA

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Annex L: Program Management Division

- C. State of Nebraska Partners - OCIO
- D. External Partners – MPO's
- E. Vendors – Systems vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Program Management Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Program Management Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Program Management Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Program Management Division will be directed by the Program Management Engineer after the NDOT Director makes the determination to activate continuity operations. Program Management Engineer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Program Management Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Program Management Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- Program Management Engineer
- Project Delivery Engineer
- Highway Program Manager
- Highway Programs Administrator/Civil Rights
- Systems Manager

#### **B. Staff Titles**

- Project Managers (3)
- Project Coordinators (3)
- Business Systems Analyst
- DBE Manager
- Civil Rights Specialist-EEO
- Civil Rights Specialist-DBE

**NDOT Annex L-Appendix 2 Table 1: Program Management Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Amy Starr <i>Program Management Engineer</i>	<b>ERG Chief</b>	Coordinating priorities with Administration
Brandi Jording <i>Project Delivery Engineer</i>	ERG Member	Facilitate project delivery. Coordinate with delivery and district personnel
Jaime Kamarad <i>Highway Program Manager</i>	ERG Member	Funds management
Aaron Matzke <i>Civil Rights Engineer</i>	ERG Member	Maintain Civil Rights Programs
Steve Moore <i>Systems Manager</i>	ERG Member	Maintain project delivery systems
Wayne Divis <i>Project Manager</i>	CST Member	
Jed Renz <i>Project Manager</i>	CST Member	
Selena Myers <i>Business Systems Analyst</i>	CST Member	
Ben Walters <i>Project Manager</i>	CST Member	



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Ibrahim Sultani <i>Project Coordinator</i>	CST Member	
Kimberly Baker <i>Highway Program Admin</i>	CST Member	
Zidarta Winfrey <i>DBE Manager</i>	CST Member	
Valerie Kimble <i>Civil Rights Specialist- EEO</i>	CST Member	
TBD <i>Civil Rights Specialist- DBE</i>	CST Member	
Jared Rockemann <i>Project Manager</i>	CST Member	

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Annex L: Program Management Division

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**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Program Management Division**

*NDOT Annex L-Appendix 3 Table 1: Orders of Succession*

<b>Project Management Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Program Management Engineer	Amy Starr
<b>1st Order</b>	Project Delivery Engineer	Nhung Hoang
<b>2nd Order</b>	Highway Program Manager	Kendall Tonjes
<b>3rd Order</b>	Systems Manager	Steve Moore

**3-2 Delegation of Authority for Program Management Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Program Management Division  
1500 Highway 2  
Lincoln, NE 68509

### **4-2 Location of Alternate Facilities**

NDOT Program Management Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT Program Management Division staff will not use a centralized alternate facility. Each employee has the capability to work from their home.

### **Alternate Facility Site Support Requirements**

To adequately support Program Management Division the alternate facility must provide at minimum:

- Internet Access
- Cell phone access

### **4-3 Alternate Facility Site Support Procedures**

None

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Program Management Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- Division/NDOT/FHWA Contact List
- Project Schedules
- Project Initiation Tracking
- Civil Rights/DBE Plans/Documents

### **5-2 Essential Data Identified for Program Management Division**

- STIP – published on NDOT website

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Program Management Engineer will work with the NDOT BTSD to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Program Management Engineer will work with the NDOT BTSD to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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**APPENDIX 6: EQUIPMENT and RESOURCES**

**6-1 Financial Resources and Budgeting**

NDOT Program Management Engineer will work with the NDOT Controller Division to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

**6-2 Equipment and Resources Identified to Support Continuity Operations**

Laptop computers

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

**6-3 Drive-Away Kits Supporting Program Management Division**

Laptop that has been assigned to each employee

**6-4 Equipment Cache(s) Supporting Program Management Division**

None

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**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**7-1 Communications Capabilities Requirements**

All staff of NDOT Program Management Division require a laptop, internet access, VPN privileges and telephone service for continuity of operations.

**7-2 Communications Capabilities & Equipment Inventory List Guidance**

All staff members are assigned a laptop computer and have been granted VPN Access. All staff members have reliable internet access in their homes and possess a working cell phone, either personal or State-issued.

**7-3 Maintaining Communications Capabilities & Equipment Inventory Lists**

NDOT BTSD will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance.

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**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Amy Starr	Program Management Engineer	402-479-4708	402-890-0986	402-890-0986	amy.starr@nebraska.gov
Nhung Hoang	Delivery Engineer	402-479-3876	402-309-9892		nhung.hoang@nebraska.gov
Kendall Tonjes	Program Manager	402-479-4386	402-730-4145	402-730-4145	kendall.tonjes@nebraska.gov
Chris Hassler	Civil Rights Coordinator	402-479-3553	402-540-817-5520	540-817-5520	chris.hassler@nebraska.gov
Steve Moore	Systems Manager	402-479-3739	402-326-0993	402-326-0993	steve.moore@nebraska.gov
Samantha Huebner	Project Manager	402-479-4381	402-525-746		samantha.huebner@nebraska.gov
Jed Renz	Project Manager	402-479-3909	402-879-5720	402-879--5720	Jed.renz@nebraska.gov
Bob Bettenhausen	Business Systems Analyst	402-479-4420	402-304-5501	402-304-5501	bob.bettenhausen@nebraska.gov
Ibrahim Sultani	Project Coordinator		402-304-1604		ibrahim.sultani@nebraska.gov
Brandi Jording	Project Manager	402-479-4381	308-520-6654		brandi.jording@nebraska.gov
Jaime Kamarad	Project Manager	402-479-4666	402-826-9656	402-826-9656	jaime.kamarad@nebraska.gov
Troy Larsen	DBE Manager	402-479-4531	402-617-1165	402-617-1165	troy.larsen@nebraska.gov
Valerie Kimble	Civil Rights Specialist – EEO	402-479-3661	531-207-3479		valerie.kimble@nebraska.gov

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Continuity of Operations Plan

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Annex L: Program Management Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Milijana Ilic	Civil Rights Specialist - DBE	402-479-4514	402-580-3736	402-580-3736	milijana.ilic@nebraska.gov
Jared Rockemann	Project Manager	402-479-3744	402-440-5439	402-440-5439	jared.rockemann@nebraska.gov

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[Month Year]

Annex L: Program Management Division

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# NEBRASKA

Good Life. Great Journey.

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex M: Right of Way Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex M: Right of Way Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

The Division Head and the ERG shall ensure that mission-essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission-essential must be deferred until additional personnel and resources become available.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

<b>RIGHT-OF-WAY DIVISION MISSION-ESSENTIAL FUNCTIONS</b>			
<b>1</b>	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>		
<b>2</b>	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>		
<b>3</b>	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>		
	Issuing and tracking permits for use and occupancy of HWY Right-of-Way.		
	Issuing of Right-of-Way certificates.		
	Creating Right-of-Way plans and legal descriptions require for construction, maintenance, LPA, condemnations and access rights.		
	Creating and reviewing appraisals and valuations for scheduled projects.		
	Resume current negotiations and meet with land owners.		
	Processing all payments made by Right-of-Way staff.		
<b>ORGANIZATIONAL UNIT</b>	<b>MISSION ESSENTIAL FUNCTION</b>	<b>POSITION/TITLE &amp; (NUMBER OF EACH POSITION)</b>	<b>RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE</b>
<b>One-Month Mission-Essential Functions</b>			

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Annex M: Right of Way Division

R.O.W. Division	Issuing and tracking permits for use and occupancy of Highway Right-of-Way.	ROW Highway Property Management Supervisor	Phones, cell phones, email, fax, Computers/Laptops, printers Arms OnBase Internet
R.O.W. Division	Issuing of Right-of-Way certificates.	ROW Highway Property Management Supervisor	Phones, cell phones, email, fax, Computers/Laptops, printers Arms – OnBase - Internet
R.O.W. Division	Creating Right-of-Way plans and legal descriptions required for scheduled projects.	ROW Engineer V	Phones, cell phones, email, fax, Computers/Laptops, printers Arms – Onbase – Internet Project Wise – Clarity – ROW Plans Microstation – Deedwriter – Deeds
R.O.W. Division	Creating and reviewing appraisals and valuations for scheduled projects.	Chief Appraiser	Phones, cell phones, email, fax, Computers/Laptops, printers Arms – OnBase – Internet – Cameras and NDOT Vehicles
R.O.W. Division	Resume current negotiations and meet with land owners.	ROW Highway Negotiations/Relocation Chief	Phones, cell phones, email, fax, Computers/Laptops, printers Arms – OnBase – Internet
R.O.W. Division	Payment Processing	ROW Highway Negotiations/Relocation Chief	Phones, cell phones, email, fax, Computers/Laptops, printers Arms – OnBase – Internet

*See NDOT Continuity of Operations BASE Plan for the complete list of prioritized mission-essential functions.*

**1-3 Mission-Essential Function Procedures**

To ensure that the mission essential functions referenced in Table 1 are effectively transferred to the alternate facility and continued with minimal interruption, it is imperative that each function have qualified staff member(s) assigned to it. The staff members assigned to complete the mission-essential functions will form the ERG. When identifying staff members to complete the mission-essential functions, the COOP planner should keep in mind limitations and considerations that might affect the number and position of ERG staff. For example, the number of individuals on the ERG may be limited due to the alternate facility resources and capacity. The same individual/position may be assigned several mission-essential functions. Care must be taken to ensure that each position/individual will have the training, skills, and time to complete all mission-essential functions they are assigned to.



## 1-4 Mission-Essential Function Partners and Interdependencies

### A. NDOT Internal Partners

- *Human Resources Administrator - provides human resources support for centralized issues such as payroll, discipline, insurance etc.*
- *District Offices – submit applications for permits and provide local support with application request.*
- *Legal Dept – provides support and guidance on legal issues and state and federal laws.*
- *Roadway Design – provides support on NDOT Projects.*

### B. Federal Partners

- FHWA – provides guidance on Federal Laws and CFR's.

### C. State of Nebraska Partners

- County Courthouses – accessed for deeds, plats and surveys.
- LPA's – Local Government Agencies providing support on projects.

### D. External Partners

- Contractors – Engineering Firms, Title Companies, Construction Contractors and Appraisal Companies providing contracted assistance on projects.
- Landowners – provides information/communications on sales and signatures as needed.

### E. Vendors

- Office Depot – provides office supplies.

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Right of Way Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Right of Way Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Right of Way Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Right of Way Division will be directed by the Right of Way Division Head after the Director makes the determination to activate continuity operations. Right of Way Division Head will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Right of Way Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Right of Way Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- **ROW Division Head/Engineer VII** - Performs highly responsible administrative and professional engineering work at the major division head or comparable organizational level; performs related work as required. Directs and coordinates the activities of the Right-of-Way Division, Department of Transportation, within professional standards and department rules, policies and procedures.
  - **Engineer V** – Under administrative direction, performs professional level engineering work and supervisory work involving engineering programs or functions for office and/or field based projects, with varying engineering

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components and requirements.

- **Chief Appraiser** - Under administrative direction, supervises assigned supervisory, professional, technical and other staff, and coordinates and directs the work activities of the appraisal section of the Nebraska Department of Transportation (NDOT) engaged in the valuation of property and lands; oversees the determination of value of property and lands for purchase, sale, investment, and/or lease purposes in accordance with professional appraisal standards and procedures and agency policies and directives; performs related work as assigned.
- Highway Beautification Supervisor – Directs and supervises the Highway Beautification Program for the state of Nebraska.
- Highway Negotiations Relocation Chief – Directs and supervises the negotiations for acquisition of property for right-of-way purposes for a state agency, department or commission. Performs related work as required.
- Highway Property Management Supervisor - Directs and coordinates the inventory maintenance, property clearance and disposal of state-owned real estate.

**NDOT Annex M-Appendix 2 Table 1: Right of Way Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Brendon Schmidt <i>Right of Way Division Head</i>	<b>ERG Chief</b>	Authority. Review and approve ROW Continuity Annex. Begin notification cascade. Oversee and approve all ROW mission-essential functions.
Tim Mullin <i>Right of Way Chief Appraiser</i>	ERG Member	Contact Appraisal Supervisors. All mission essential appraisal functions.
Dan Foreman <i>Right of Way Engineer V</i>	ERG Member	Contact Design Supervisors. All ME Design functions.
Thomas Weber <i>Right of Way Highway Property Management Supervisor</i>	ERG Member	Contact Negotiation/Relocation Supervisors. All mission essential Negotiation/Relocation functions.
Todd Wicken <i>Right of Way Highway Property Management Supervisor</i>	ERG Member	Contact Property Management Employees. All mission essential Property management functions.

Jean Todd <i>Right of Way Highway Beautification Supervisor</i>	ERG Member	Contact Highway Beautification Employees. All mission essential Highway Beautification functions.
Alison Bennett HWY Relocation Supervisor	ERG Member	Contact Relocation Employees. All mission essential Relocation/LPA functions.

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**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Right of Way Division**

*NDOT Annex M-Appendix 3 Table 1: Orders of Succession*

<b>Right of Way Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Right of Way Division Manager	Brendon Schmidt
<b>1st Order</b>	Right of Way Engineer V	Dan Foreman
<b>2nd Order</b>	Right of Way Chief Appraiser	Tim Mullin
<b>3rd Order</b>	Right of Way Highway Negotiations/Relocation Chief	Thomas Weber

**3-2 Delegation of Authority for Right of Way Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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**APPENDIX 4: ALTERNATE FACILITY**

**4-1 Primary Facility**

Nebraska Department of Transportation  
1600 Building  
Lincoln, NE 68502

**4-2 Location of Alternate Facilities**

NDOT Right of Way Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

Based on the type and/or severity of the incident, NDOT CAT will determine a location to serve as an alternate facility for continuity operations when the primary facility is affected.

**Alternate Facility Site Support Requirements**

Agency	Division	ERG Count	Facility	Room
NDOT	Right of Way	7	NDOT HILL	151

To adequately support Right of Way Division the alternate facility must provide at minimum:

- Workspace for 6 to 8 Staff with outlets to support 6 to 8 computers/laptops
- Parking for 6 to 8 staff and accessible parking for approximately 8 clients per hour from 7 am to 4 pm. Clients average parking time approximately 75 minutes for appointments.
- ADA Compliance
- Enough power/water and communications infrastructure with working restrooms.
- Accessible Wifi and State of Nebraska network connectivity.

**4-3 Alternate Facility Site Support Procedures**

See the procedures in Enclosure (3) of the agency’s BASE Plan.

Site Support Procedures for accessing and preparing the agency’s alternate facility for all agency staff across all mission-essential functions will be maintained in Enclosure (3) of the agency’s BASE Plan.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Right of Way Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- State Statutes & Rules and Regulations
- Letters of Authority
- Union Contracts
- NDOT/Policies & Procedures
- Calling Tree Code Agencies Contact List
- Emergency List
- Central and District Phone Books

### **5-2 Essential Data Identified for Right of Way Division**

- NAPE/AFSCME Agreement Pay Plan – NAPE Website
- ProjectWise - BTSD
- Clarity - BTSD
- Microstation – BTSD

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Right of Way Division Head will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Right of Way Division Head will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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**APPENDIX 6: EQUIPMENT and RESOURCES**

**6-1 Financial Resources and Budgeting**

NDOT Right of Way Division Head will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency’s risk of loss, assessing the agency’s risk tolerance, and developing strategies for mitigating against loss.

**6-2 Equipment and Resources Identified to Support Continuity Operations**

- ROW Manual
- NDOT Rules and Regs
- CFR
- State Statutes
- Code of Federal Regulations
- Survey Vehicles and Equipment
- Staff NDOT ROW Vehicles
- Telephones
- Computers and internet access

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

**6-3 Drive-Away Kits Supporting Right of Way Division**

Table 1 is a checklist of resources that should be included in a Drive-Away Kit. A drive-away kit contains vital records and databases, equipment, and basic office supplies that are not pre-positioned at the alternate facility or available otherwise. Drive-away kit contents are portable, that is, the contents should fit easily in a car. ROW has 6 Drive Away Kits located in the office of Each ERG Team Member who is responsible for restocking annually.

<b>Table 1. Drive-Away Kit Contents and Checklist</b>	
<b>EQUIPMENT</b>	
	<b>1. Laptop Computers assigned to the ERG Chief and Team</b>
	<b>2. Vehicle keys (Stored on the hill)</b>
	<b>3. Camera, cards, chargers(3)</b>
	<b>4. Extra Batteries</b>
<b>COMMUNICATIONS EQUIPMENT</b>	
	1. Cell phones
<b>VITAL RECORDS and DATABASES</b>	
	1. State Statutes & Rules and Regulations
	2. Letters of Authority
	3. Union contracts

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	4. NDOT/Policies & Procedures	
	5. Calling Tree Code Agencies Contact list & Emergency Contact Roster	
	6. Complete NDOT COOP Plan	
	7. Central and District Phone Books	
<b>BASIC OFFICE SUPPLIES</b>		<b>Quantities</b>
	<b>1. Notepads</b>	<b>5</b>
	<b>2. Pens</b>	<b>8</b>
	<b>3. Folders</b>	<b>1 Box</b>
	<b>4. Post-it-Notes</b>	<b>5 Pads</b>
	<b>5. State Envelopes</b>	<b>25 Box</b>
	<b>6. Paper</b>	<b>2 Reams</b>

**6-4 Equipment Cache(s) Supporting Right of Way Division**

None.

## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex M-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.



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Continuity of Operations Plan

Annex M: Right of Way Division

NDOT

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Ext.	Personal Cell Phone	Email
Adam Fielder	HWY ROW Designer III	402-479-3137	402-239-6734	Adam.Fielder@Nebraska.gov
Alison Bennett	Hwy Relocation Supervisor	402-479-4484	402-405-6272	Alison.Bennett@Nebraska.gov
Amber Davis	Appraiser I	402-479-4482	402-318-6739	Amber.Davis@Nebraska.gov
Andre Sahele	Engineer II	402-479-3801	402-310-2097	Andre.Sahele@Nebraska.gov
Brendon Schmidt	ROW Division Engineer	402-479-4460	402-450-1447	Brendon.Schmidt@Nebraska.gov
Brian Flowerday	HWY ROW Agent II	402-479-4469	402-607-9259	Brian.Flowerday@Nebraska.gov
Carla Hunt	HWY ROW Agent II	402-479-4494	402-540-6603	Carla.Hunt@Nebraska.gov
Chris Neesen	HWY ROW Project Mgr	402-479-4566	531-248-7833	Chris.Neesen@Nebraska.gov
Claire Wilson	Student Work Study	402-479-3782	402-432-9232	Claire.Wilson@Nebraska.gov
Dalton Hoferer	HWY ROW Agent II	402-479-4489	402-580-5731	Dalton.Hoferer@Nebraska.gov
Dan Foreman	Engineer III	402-479-3726	402-890-1364	Dan.Foreman@Nebraska.gov
David Ells	IT BSA	402-479-3750	402-488-8139	Dave.Ells@Nebraska.gov
Diane Hooker	HWY ROW Designer III	402-479-4377	303-570-1813	Diane.Hooker@Nebraska.gov
Greg Heinzmann	Appraisal Review Supervisor	402-479-4480	402-499-7023	Greg.Heinzmann@Nebraska.gov
Jacki Schrotberger	Admin Tech	402-479-4761	402-709-1640	Jacki.Schrotberger@Nebraska.gov
Jacob Ripp	Hwy Registered Land	402-479-4426	308-380-1281	Jacob.Ripp@Nebraska.gov

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[Month Year]

Annex M: Right of Way Division

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Name	Title	Business Ext.	Personal Cell Phone	Email
	Surveyor			
James Grupe	HWY ROW Project Mgr	402-479-4311	402-797-7404	James.Grupe@Nebraska.gov
Janae Weston	HWY ROW Project Mgr	402-479-4332	402-366-4278	Janae.Weston@Nebraska.gov
Jason Archer	Appraiser II	402-479-4474	303-552-7440	Jason.Archer@Nebraska.gov
Jason Lee	HWY Land Surveyor	402-479-4426	402-540-5373	Jason.Lee@Nebraska.gov
Jazmine Kriz	HWY ROW Designer III	402-479-3596	402-889-3938	Jazmine.Kriz@Nebraska.gov
Jean Todd	HWY Beautification Supervisor	402-479-4463	402-499-2500	Jean.Todd@Nebraska.gov
Jill Smith	HWY ROW Agent II	402-479-4470	402-430-7251	Jill.Smith@Nebraska.gov
Joshua Weber	HWY ROW Designer III	402-479-4720	402-429-7712	Joshua.Weber@Nebraska.gov
Kathy Carter	HWY ROW Agent II	402-479-3603	402-405-2446	Kathy.Carter@Nebraska.gov
Karla Smith	HWY ROW Project Mgr	402-479-3985	402-310-4165	Karla.R.Smith@Nebraska.gov
Kelly Behlen	HWY ROW Project Mgr	402-479-3805	402-643-0490	Kelly.Behlen@Nebraska.gov
Kevin Arens	HWY ROW Designer III	402-479-3774	402-730-8005	Kevin.Arens@Nebraska.gov
Kurt Svoboda	HWY Land Surveyor	402-479-4426	402-613-9970	Kurt.Svoboda@Nebraska.gov
Leslie Applegarth	Hwy ROW Associate II	402-479-4730	402-805-5604	Leslie.Applegarth@Nebraska.gov
Leslie Muehlich	HWY ROW Agent II	402-479-4422	402-277-6097	Leslie.Muehlich@Nebraska.gov
Lisa Johnson	HWY ROW Agent II	402-479-3123	402-540-2292	Lisa.C.Johnson@Nebraska.gov
Lori Huebner	HWY ROW Project Mgr	402-479-4466	402-590-7433	Lori.Huebner@Nebraska.gov
Mark Beethe	Appraisal Review	402-479-3605	402-710-0175	Mark.Beethe@Nebraska.gov

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Continuity of Operations Plan

Annex M: Right of Way Division

NDOT

Name	Title	Business Ext.	Personal Cell Phone	Email
	Supervisor			
Mark Lorenz	Appraisal Review Supervisor	402-479-4481	402-326-4200	Mark.Lorenz@Nebraska.gov
Mark Rosno	Appraiser III	402-479-3160	712-833-0885	Mark.Rosno@Nebraska.gov
Mary Kusuma	Appraiser II	402-479-4485	402-770-8086	Mary.Kusuma@Nebraska.gov
Mike Tinius	HWY ROW Designer III	402-479-3953	402-423-2312	Mike.Tinius@Nebraska.gov
Morgan Ehmcke	Hwy ROW Associate II	402-479-4788	815-997-2011	Morgan.Ehmcke@Nebraska.gov
Mostafa Zahrooni	HWY ROW Designer III	402-479-4728	402-805-9027	Mostafa.Zahrooni@Nebraska.gov
Nicki Klein	Hwy ROW Associate II	402-479-4471	402-429-2789	Nicolette.Klein@Nebraska.gov
Philip Kreutzer	Appraiser I	402-479-4477	308-233-7791	Philip.Kreutzer@Nebraska.gov
Rene Ingersoll	HWY ROW Designer III	402-479-4861	308-893-0465	Rene.Ingersoll@Nebraska.gov
Ryan Payton	Appraiser I	402-479-4476	402-806-8612	Ryan.Payton@Nebraska.gov
Sarah Talbert	HWY ROW Agent II	402-479-4461	402-443-6132	Sarah.Talbert@Nebraska.gov
Scott Williams	Appraiser III	402-479-4483	402-679-2920	Scott.Williams@Nebraska.gov
Shawn R Mrsny	Accountant I	402-479-4487	531-510-7639	Shawn.Mrsny@Nebraska.gov
Steve Wessel	Deputy State Surveyor	402-479-4711	402-720-6144	Steve.Wessel@Nebraska.gov
Tim Lentz	Appraiser III	402-479-3959	402-429-1494	Tim.Lentz@Nebraska.gov
Timothy Mullin	Chief Appraiser	402-479-4478	402-450-5086	Tim.Mullin@Nebraska.gov
Tina Yates	Accountant I	402-479-4491	402-326-3661	Tina.Yates@Nebraska.gov
Todd Wicken	HWY Property Mgt Supervisor	402-479-4462	402-499-7295	Todd.Wicken@Nebraska.gov

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Continuity of Operations Plan

Annex M: Right of Way Division

NDOT

Name	Title	Business Ext.	Personal Cell Phone	Email
Tom Manning	HWY ROW Agent II	402-479-4552	402-759-4821	Tom.Manning@Nebraska.gov
Tom Weber	HWY ROW Negotiations Chief	402-479-4488	402-601-7447	Thomas.Weber@Nebraska.gov
Tonya Beckenhauer	HWY ROW Agent II	402-479-4495	402-610-3575	Tonya.Beckenhauer@Nebraska.gov
Travis Eberspacher	HWY ROW Designer III	402-479-3785	402-560-4504	Travis.Eberspacher@Nebraska.gov

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex N: Roadway Design Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex N: Roadway Design Division**

**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**APPENDIX 2: EMERGENCY RELOCATION GROUP**

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

**APPENDIX 4: ALTERNATE FACILITY**

**APPENDIX 5: ESSENTIAL RECORDS and DATA**

**APPENDIX 6: EQUIPMENT and RESOURCES**

**APPENDIX 7: COMMUNICATIONS CAPABILITIES**

**APPENDIX 8: CONTACT ROSTER**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

The objective of the MEF’s is to work towards getting back to normal day to day operations.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	Roadway Design DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Provide centralized Roadway Design services to District Forces, Consultants, the Construction Division and the Office of the Director
	Prioritize and allocate resources as required
	Oversee Roadway Design Services and Support Activities
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	<i>Continue functions listed under item Number 1 above</i>
	Review changes to policies and make adjustments as necessary
	Coordinate and Manage Roadway Design Services and Support Activities
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	<i>Continuation of functions listed under item Number 1 and 2 above</i>

**Table 2. Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			
Roadway Design Division	Provide division support for overall NDOT operations.	Roadway Design Engineer (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, Internet

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Annex N: Roadway Design Division

Roadway Design Division	Project Scoping, Permit Reviews, Design Standards	Assistant Roadway Design Engineer (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, Internet, AASHTO Green Book, AASHTO Roadside Design Guide, Clarity, OnBase, MicroStation, Outlook, ProjectWise
Roadway Design Division	Plan preparation, consultant management	Assistant Roadway Design Engineer (4)	Phones, cell phones, email, fax, Computers/Laptops, printers, Internet, AASHTO Green Book, AASHTO Roadside Design Guide, Clarity, OnBase, MicroStation, Outlook,

<b>ORGANIZATIONAL UNIT</b>	<b>MISSION ESSENTIAL FUNCTION</b>	<b>POSITION/TITLE &amp; (NUMBER OF EACH POSITION)</b>	<b>RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE</b>
Roadway Design Division	Provide Support for all functions listed above.	Roadway Design Administrative Assistant (1)	Phones, cell phones, email, fax, Computers/Laptops, printers
<b>One-Week Mission-Essential Functions</b>			
Roadway Design Division	All One-Day Mission Essential Functions	ERG COOP Team Members (8)	Phones, cell phones, email, fax, Computers/Laptops, printers. All peripheral items listed in the Listed in the One-Day Mission Essential Functions
Roadway Design Division	Plan preparation, consultant management	Roadway Design Unit Head (11) / Highway Plans Manager (1)	Phones, cell phones, email, fax, Computers/Laptops, printers, Internet, AASHTO Green Book, AASHTO Roadside Design Guide, Clarity, OnBase, MicroStation, Outlook,
Roadway Design Division	Permit Reviews, Design Standards, Hydraulics & Environmental	Roadway Design Unit Head (6) / Permits Coordinator (1)	Phones, cell phones, email, fax, Computers/Laptops, printers. All peripheral items listed in the Listed in the One-Day Mission Essential Functions
<b>One-Month Mission-Essential Functions</b>			

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Annex N: Roadway Design Division

Roadway Design Division	All One-Week Mission Essential Functions	ERG COOP Team Members (8) + (18 Staff)	Phones, cell phones, email, fax, Computers/Laptops, printers. All peripheral items listed in the Listed in the One-Day Mission Essential Functions
-------------------------	--	--	--

Priority order will be determined by the Agency Leadership, Crisis Action Team and will depend on the time of year and the extent of the damage.

*See NDOT Continuity of Operations BASE Plan for the complete list of prioritized mission-essential functions.*

**1-3 Mission-Essential Function Procedures**

Procedures are laid out by or cross-referenced to standard operating procedure and the applicable program manuals.

**1-4 Mission-Essential Function Partners and Interdependencies**

There are no pre-determined partners nor interdependencies.

A. NDOT Internal Partners

- NDOT internal partners as needed.

B. Federal Partners

C. State of Nebraska Partners

D. External Partners

E. Vendors

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## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Roadway Design Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Roadway Design Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Roadway Design Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Roadway Design Division will be directed by the Roadway Design Engineer after the NDOT Director makes the determination to activate continuity operations. Roadway Design Engineer will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Roadway Design Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Roadway Design Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- Leadership titles for the mission-essential functions included in Table 1 of this appendix.

#### **B. Staff Titles**

- Staff titles for the mission-essential functions included in Table 1 of this appendix.

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Annex N: Roadway Design Division

**NDOT Annex N-Appendix 2 Table 1: Roadway Design Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Mick Syslo <i>Roadway Design Engineer</i>	<b>ERG Chief</b>	Authority. Review and approve Roadway Design Continuity Annex. Begin notification cascade. Oversee and approve all Bridge Division mission essential functions
Nathan Sorben <i>Assistant Roadway Design Engineer-Support</i>	ERG Member	Contact Unit Leaders. All mission essential roadway design functions
Kyle Keller Assistant Roadway Design Engineer-Districts 1 & 7	ERG Member	Contact Unit Leaders. All mission essential roadway design functions
Bill Wehling <i>Assistant Roadway Design Engineer – Districts 2 &amp; 5</i>	ERG Member	Contact Unit Leaders. All mission essential roadway design functions
Steve McCullough <i>Assistant Roadway Design Engineer – Districts 3 &amp; 6</i>	ERG Member	Contact Unit Leaders. All mission essential roadway design functions
Syed Ataullah <i>Assistant Roadway Design Engineer – Districts 4 &amp; 8</i>	ERG Member	Contact Unit Leaders. All mission essential roadway design functions
Julie Ramirez <i>Assistant Roadway Design Engineer - Hydraulics</i>	ERG Member	Contact Team members. All mission essential roadway
Linda Piening <i>Roadway Design – Administrative Assistant</i>	ERG Member	All mission essential Roadway Design administrative functions
Austin White <i>Design Standards Engineer</i>	ERG Member	Contact Team members. All mission essential roadway

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Vacant <i>Highway Plans Manager</i>	ERG Member	Contact Team members. All mission essential roadway
Kevin Krolikowski <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Tony Kessler <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Jamie Mikkleson <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Chris Lutz <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Toby Fierstein <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
vacant <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Vacant <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway design functions
Tyler Schmidt <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Jacqueline Baird <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway

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Kyle Christensen Policy Practical Design Engineer	ERG Member	Contact Team members. All mission essential roadway
Mike Hale <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Brian Johnson <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Brad Garbers <i>Roadway Design Unit Leader</i>	ERG Member	Contact Team members. All mission essential roadway
Jeanne Hamilton <i>Roadway Permits Coordinator</i>	ERG Member	All mission essential roadway design functions

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Roadway Design Division**

*NDOT Annex N-Appendix 3 Table 1: Orders of Succession*

<b>Roadway Design Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Roadway Design Engineer	Mick Syslo
<b>1st Order</b>	Assistant Roadway Design Engineer-Support	Nathan Sorben
<b>2nd Order</b>	Assistant Roadway Design Engineer-Districts 2 & 5	Bill Wehling
<b>3rd Order</b>	Assistant Roadway Design Engineer-Districts 3 & 6	Steve McCullough
<b>4th Order</b>	Assistant Roadway Design Engineer-Districts 1 & 7	Kyle Keller
<b>5th Order</b>	Assistant Roadway Design Engineer-Districts 4 & 8	Syed Attullah
<b>6th Order</b>	Assistant Roadway Design Engineer – Hydraulics	Julie Ramirez

**3-2 Delegation of Authority for Roadway Design Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Roadway Design Division  
1500 Highway 2  
Lincoln, NE 68509

### **4-2 Location of Alternate Facilities**

NDOT Roadway Design Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has not identified an alternate facility and will determine any alternate facilities based on the type and severity of the disaster.

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Roadway Design Division the alternate facility must provide at minimum:

- ADA Compliance
- Sufficient power/water and communications infrastructure

### **4-4 Alternate Facility Site Support Procedures**

No procedures are required at this time to prepare the workspace for staff specifically supporting the mission-essential functions identified in this annex.

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## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Roadway Design Division**

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
- AASHTO Green Book
- NDOT Roadway Manual
- AASHTO Roadside Design Guide

### **5-2 Essential Data Identified for Roadway Design Division**

- OnBase
- Clarity
- ProjectWise

### **5-3 Access to Essential Records and Data During a Continuity Activation**

NDOT Roadway Design Engineer will work with the NDOT [Applicable Agency Representative] to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Roadway Design Engineer will work with the NDOT [Applicable Agency Representative] to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Roadway Design Engineer will work with the NDOT [Applicable Agency Representative] to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

- 27 Notepads
- 54 Pens
- 2 Boxes of Folders
- 1 Box of Post-it-Notes
- 1 Box of Envelopes
- 1 Box of Paper
- 1 Box of Letterhead

*Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### **6-3 Drive-Away Kits Supporting Roadway Design Division**

No Drive-Away Kits have been established to support the functions identified in this Annex.

### **6-4 Equipment Cache(s) Supporting Roadway Design Division**

No Equipment Cache(s) have been established to support the functions identified in this Annex.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex N-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Acevedo, Kathryn	Hwy Design Tech III	402-479-3999			katie.acevedo@nebraska.gov
Al Ghamari, Lamees	Engineer I	402-479-3660			lamees.alghamari@nebraska.gov
Asif, Ashar	Engineer I	402-479-3777			ashar.asif@nebraska.gov
Ataullah, Syed	Engineer V	402-479-4735	402-304-3779		syed.ataullah@nebraska.gov
Baird, Jacqueline	Engineer IV	402-479-4625	402-335-8206		jacqueline.baird@nebraska.gov
Bauer, Branton	Hwy Designer II	402-479-3952			branton.bauer@nebraska.gov
Benne, Andrew	Hwy Designer III	402-479-4712			andrew.benne@nebraska.gov
Bockus, Freddie	Hwy Designer III	402-479-3652			fred.bockus@nebraska.gov
Bringenberg, Jason	Hwy Design Tech III	402-479-3981			jason.bringenber@nebraska.gov
Buckner, Mike	Hwy Designer II	402-479-4513			mike.buckner@nebraska.gov
Carnazzo, Robert	Engineer III	402-479-4441			bob.carnazzo@nebraska.gov
Chapman, Cody	Hwy Design Tech III	402-479-3694			cody.chapman@nebraska.gov
Chrisp, Daniel	Hwy. Utilities Coordinator II	402-479-4732			dan.chrisp@nebraska.gov
Christensen, Kyle	Engineer IV	402-479-3117	402-276-5673		kyle.christensen@nebraska.gov

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Annex N: Roadway Design Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Cook, William	Hwy Designer II	402-479-4706			bill.cook@nebraska.gov
Coulter, Ronald	Hwy Design Tech III	402-479-4576			ronald.coulter@nebraska.gov
Downey, Brian	Hwy Design Tech II	402-479-4679			brian.downey@nebraska.gov
Downing, Eric	Engineer I	402-479-3762			eric.downing@nebraska.gov
Drabant-Greever, Jennifer	Hwy Design Technician Supervisor	402-479-4693			jennifer.drabant-greever@nebraska.gov
Eberspacher, William	Hwy Designer III	402-479-3938			bill.eberspacher@nebraska.gov
Eman, Taylor	Engineer IV	402-479-4449	309-360-5393		taylor.eman@nebraska.gov
Fierstein, Toby	Engineer IV	402-479-4545	402-890-0972		toby.fierstein@nebraska.gov
Fischer, Ben	Engineer II	402-479-3825			ben.fischer@nebraska.gov
Foss, Thomas	Hwy Designer III	402-479-4427			thomas.foss@nebraska.gov
Garbers, Bradley	Engineer IV	402-479-4658	402-516-2128		brad.garbers@nebraska.gov
Geschwender, Richard	Hwy Designer III	402-479-3559			rich.geschwender@nebraska.gov
Gonzalez, Eric	Hwy Designer III	402-479-3930			eric.gonzalez@nebraska.gov
Grant, Roger	Hwy Designer III	402-479-4632			roger.w.grant@nebraska.gov
Haines, Joseph	Engineer III	402-479-4439			joseph.haines@nebraska.gov
Hale, Michael	Engineer III	402-479-3815			michael.hale@nebraska.gov
Hall, Kyle	Engineer II	402-479-4782			kyle.hall@nebraska.gov

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Annex N: Roadway Design Division

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Annex N: Roadway Design Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Hamilton, Jeanne	Roadway Permits Coordinator	402-479-3563			jeanne.hamilton@nebraska.gov
Hassan, Safaa	Hwy Designer II	402-479-3933			safaa.hassan@nebraska.gov
Hassani, Abdul	Engineer III	402-479-3725			wahed.hassani@nebraska.gov
Hayden, Mackenzie	Engineer I	402-479-4459			mackenzie.hayden@nebraska.gov
Houfek, Preston	Hwy Design Tech III	402-479-3541			preston.houfek@nebraska.gov
Hurst, Zachary	Engineer II	402-479-4748			zachary.hurst@nebraska.gov
Johnson, Brian	Engineer IV	402-479-3990	402-310-9371		brian.johnson@nebraska.gov
Johnston, Jeffrey	Engineer III	402-479-4731			jeff.johnston@nebraska.gov
Keller, Kyle	Engineer V	402-479-3674	308-641-3716		kyle.keller@nebraska.gov
Kessler, Anthony	Engineer IV	402-479-3994	402-532-5825		tony.kessler@nebraska.gov
Kingman, Andrew	Engineer II	402-479-4864			andrew.kingman@nebraska.gov
Krolikowski, Kevin	Engineer IV	402-479-4618	308-379-1964		kevin.krolikowski@nebraska.gov
Lange, Dan	Hwy Designer III	402-479-4773			dan.lange@nebraska.gov
Larson, Debra	Hwy Design Technician Supervisor	402-479-4624			deb.larson@nebraska.gov
Lemus, Reynaldo	Engineer II	402-479-4640			reynaldo.lemus@nebraska.gov
Linbo, John	Engineer II	402-479-3595			john.linbo@nebraska.gov
Lutz, Chris	Engineer IV	402-479-3893	402-540-6214		chris.lutz@nebraska.gov
Lyons, John	Hwy Designer III	402-479-3942			john.lyons@nebraska.gov

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Annex N: Roadway Design Division

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Continuity of Operations Plan

NDOT

Annex N: Roadway Design Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Matzke, Aaron	Engineer II	402-479-4468			aaron.matzke@nebraska.gov
Mikkleson, Jamie	Engineer IV	402-479-4459	402-641-0027		jamie.mikkleson@nebraska.gov
Mohammed, Moujtaba	Engineer II	402-479-3974			moujtaba.mohammed@nebraska.gov
Nunez, Fernando	Hwy Design Tech III	402-479-4681			fernando.nunez@nebraska.gov
Otto, Timothy	Hwy Designer III	402-479-3947			tim.otto@nebraska.gov
Mick Syslo	Division Head	402-479-4601			mike.owen@nebraska.gov
Park, Matthew	Engineer III	402-479-4722			matthew.park@nebraska.gov
Parrott, Todd	Hwy Designer III	402-479-4894			todd.parrott@nebraska.gov
Pham, Thach	Hwy Designer III	402-479-3733			thach.pham@nebraska.gov
Piening, Linda	Administrative Assistant	402-479-4601	402-450-0566		linda.piening@nebraska.gov
Pillard, Douglas	Engineer IV	402-479-4777	402-419-8380		doug.pillard@nebraska.gov
Ramirez, Julie	Engineer V	402-479-3992	402-440-0440		julie.ramirez@nebraska.gov
Reeves, Cathina	Hwy Designer II	402-479-3667			cathina.reeves@nebraska.gov
Reiling, Jesse	Hwy Design Tech III	402-479-4497			jesse.reiling@nebraska.gov
Roesler, Cara	Engineer III	402-479-4767			cara.roesler@nebraska.gov
Schmidt, Dean	Hwy Design Technician Supervisor	402-479-4681			dean.schmidt@nebraska.gov
Schmidt, Tyler	Engineer IV	402-479-4447			tyler.schmidt@nebraska.gov
Sorben, Nathan	Engineer V	402-479-3780	402-610-0164		nathan.sorben@nebraska.gov

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Annex N: Roadway Design Division

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Annex N: Roadway Design Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Tabatabai, Faramarz	Engineer II	402-479-3768			faramarz.tabatabai@nebraska.gov
TenHulzen, Philip	Engineer IV	402-479-3951	402-646-8731		phil.tenhulzen@nebraska.gov
Thomas, John	Engineer V	402-479-4719	402-853-6016		john.thomas@nebraska.gov
Thomas, Whitaker	Engineer IV	402-479-3641	402-363-1771		whitaker.thomas@nebraska.gov
Thurber, Zachery	Engineer II	402-479-3706			zachery.thurber@nebraska.gov
Tsau, Andrew	Engineer II	402-479-3995			andrew.tsau@nebraska.gov
Ullman, Eric	Engineer I	402-479-3119			eric.ullman@nebraska.gov
Vo, Nho	Engineer II	402-479-3764			nho.vo@nebraska.gov
Weatherly, Shane	Engineer I	402-479-3705			shane.weatherly@nebraska.gov
Wehling, Bill	Engineer V	402-479-3934	402-540-4312		bill.wehling@nebraska.gov
White, Austin	Engineer III	402-479-4445			austin.white@nebraska.gov
Wilson, Charles	Hwy Utilities Coordinator II	402-479-4425			rex.wilson@nebraska.gov
Wisnieski, Paul	Engineer III	402-479-3880			paul.wisnieski@nebraska.gov
Zenon, Saleasha	Engineer II	402-479-3941			saleasha.zenon@nebraska.gov
Ziemann, Chaddwick	Hwy Designer III	402-479-4621			chaddwick.ziemann@nebraska.gov

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Annex N: Roadway Design Division

Name	Title	Business Phone	Cell Phone	Alt Phone	Email

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Annex N: Roadway Design Division

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**DEPARTMENT OF TRANSPORTATION**

## **CONTINUITY OF OPERATIONS PLAN**

### **Annex O: Strategic Planning Division**

**September 2022**

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# NDOT CONTINUITY OF OPERATIONS PLAN

## Annex O: Strategic Planning Division

APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)

APPENDIX 2: EMERGENCY RELOCATION GROUP

APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY

APPENDIX 4: ALTERNATE FACILITY

APPENDIX 5: ESSENTIAL RECORDS and DATA

APPENDIX 6: EQUIPMENT and RESOURCES

APPENDIX 7: COMMUNICATIONS CAPABILITIES

APPENDIX 8: CONTACT ROSTER

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

1-1 Mission-Essential Function Objective

The Strategic Planning Division essential functions are centered on compliance with federal laws and associated requirements to receive and distribute federal funding. These include activities related to planning, traffic data, freight, and performance management. The division's mission essential functions are as follows:

- **Planning:** The Planning team oversees the NDOT planning program activities, which are required by the Federal Highway Administration (FHWA) to receive Federal funds. It also processes various plans, amendments, and invoices for MPO operations and activities. Without these efforts, the Department may not be able to properly oversee and administer the federal planning program; putting NDOT planning and research funds at risk. In addition, operations and projects for MPOs may be interfered with if the planning team is unable to process invoices, etc.
- **Traffic Data:** The Traffic Counting and Traffic Forecasting teams fulfill federal requirements by obtaining different types of traffic data across the state on a systematic basis, year-round. The data is then processed by the Traffic Forecasting team for various planning uses throughout the department. Without these functions, data used in decision making may be unavailable and ultimately interfere with project delivery. Furthermore, the NDOT will be unable to fulfill its obligations to FHWA for traffic information and thereby jeopardize federal funds.
- **Freight:** The Freight and Economic Development Liaison fulfills federal planning requirements by maintaining and updating the State's Freight Plan. The Liaison also administers the State's Economic Opportunity Program (EOP) which provides grant funds for last mile connections. This function is needed to prevent delay in the processing of applications and distribution of funds for EOP projects. Delays in funding could adversely affect private sector and job creation. In addition, Federal Freight formula funds may be jeopardized if the Liaison is unable to fulfill freight planning obligations. Lastly, general Federal Highway funding may be jeopardized if the Liaison is unable to assemble freight performance data.
- **Performance Management:** The Performance Management Engineer organizes, gathers, and reports performance data to the FHWA and other partners. If this function is suspended, performance reporting obligations may go unfulfilled (depending on the time of year), which would jeopardize federal funds.

1-2 Mission-Essential Function Priority

Traffic Forecasting/Counting Team - Interference with this function will prevent the delivery of data used in decision making, which may ultimately interfere with project delivery. Project delivery is a top priority on the approved list of NDOT MEFs. As a

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result, the recovery time objective is 1 week. The quick recovery time objective is also important since the NDOT has an obligation to obtain traffic information for its Federal Planning Work Program. Failure to do so would jeopardize federal funds.

Planning Team - Without this function, the Department may not be able to properly oversee and administer the federal planning program; putting NDOT planning and research funds at risk. Funding is a high priority on the approved list of NDOT MEFs. As a result, the recovery time objective is 5 days. In addition, timely recovery of this function will ensure that operations and projects for MPOs stay on track.

Freight and Economic Development Liaison - The processing of applications and distribution of funds for EOP projects would be delayed if this function isn't recovered in a timely manner. In addition, Federal Freight formula funds may be jeopardized if the Liaison is unable to fulfill freight planning obligations. Lastly, general Federal Highway funding may be jeopardized if the Liaison is unable to assemble freight performance data. All of these issues speak to the high priority of Funding.. As a result, the recovery time objective is 5 days.

The Performance Management Engineer - Depending on the time of year, performance reporting obligations may go unfulfilled, jeopardizing federal funds. Since Funding is a high priority on the approved list of NDOT MEFs, the recovery time objective is 5 days.

1-3 Mission-Essential Function Procedures

a. Traffic Forecasting/Counting Team : SOPs located at <\\dotfs\imodal\planning\Traffic Counter Shop\New Folder\SOPs>. The following are included.

- Statistical Clerk
- Portable Counting
- Manual Counting
- WIM Counting
- ATR Maintenance and Installation

b. Planning Team : MPO Planning Manual is located at <\\dotfs\imodal\Planning\Planning Unit\MPO-manual>

c. The Performance Management Engineer : SOPs are located at <\\dotfs\imodal\Performance Measures\Reporting\UPACS SOP>

d. Freight and Economic Development Liaison

- i. Freight Planning documents are located at : <\\dotfs\imodal\Freight & Economic Development Liaison\State Freight Plan>
- ii. EOP template documents are located at : <\\dotfs\imodal\Freight & Economic Development Liaison\Economic Opportunity Program\Documents>

1-4 Mission-Essential Function Partners and Interdependencies

**A. NDOT Internal Partners**

- Traffic Forecasting/Counting Team - These teams work close with the M&R Asset Management team to provide data for the Highway Performance Monitoring System (HPMS), which is a federal reporting system. In addition, these teams work closely with many different internal groups to provide traffic data used in design. Lastly, these teams work with the Districts to coordinate on traffic counts in the field.
- Planning Team - The planning team works with all Divisions to distribute State Planning and Research (SPR) funds. These funds help fund NDOT's planning and research activities. This group also works with the Program Management and Local Assistance divisions anytime the Metropolitan Planning Organizations (MPOs) make changes to their Transportation Improvement Plans (TIPs) and Long Range Transportation Plans (LRTP). Lastly, the planning team works with all divisions on the State's Long Range Transportation Plan and various grant applications.
- Freight and Economic Development Liaison - Works closely with the Districts to coordinate EOP funded transportation improvements, along with Traffic Engineering and Roadway Design. Also works closely with the Attorney General's office on EOP agreements. Lastly, works with many divisions on the State's freight plan, especially the Program Management Division.
- The Performance Management Engineer - This position works closely with all Divisions and Districts to align performance management with Divisional/District Goals. It works especially closely with BTSD to create automated performance dashboards. Lastly, it works with Executive leadership and the Communications Division to monitor and communicate agency performance.

**B. Federal Partners**

- All of the Strategic Planning Teams that have MEFs work closely with the Federal Highway Administration Nebraska Division to fulfill various federal requirements. These include management of the SPR program, oversight for MPO PL funds, HPMS related data collection, and Performance reporting. The planning team may indirectly deal with the Federal Transit Administration on the use of MPO PL funds.

**C. State of Nebraska Partners**

- The Division works with several different state agencies. The Division's Freight and Economic Development Liaison works regularly with the Department of Economic Development (DED) to review EOP applications and coordinate their respective activities. The Planning team may at times engage with Health and Human services (HHS) when discussing active transportation activities.

**D. External Partners**

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- The Division is active in several subcommittees of the American Association of State Highway Transportation Officials (AASHTO). Several of the teams engage with specific trade organizations and businesses. For example, the Freight and Economic Development Liaison works with the NE Trucking Association and Class I railroads on freight planning activities. It also works closely with Chambers of Commerce and local public officials to distribute EOP funding. Lastly, the planning group regularly works with MPOs to assist them with funding and federal compliance.

E. Vendors

- The Division regularly takes advantage of Engineering and Planning Consultants to assist in the completion of highly technical, resource intensive, and/or non-recurring work tasks. In addition, the traffic counting teams work with various Traffic Counter Equipment Vendors to obtain and maintain necessary equipment.



## APPENDIX 2: EMERGENCY RELOCATION GROUP

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Strategic Planning Division operations provided through the Nebraska Department of Transportation (NDOT).

### 2-1 Emergency Relocation Group Responsibilities

Prior to a continuity activation Strategic Planning Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Strategic Planning Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### 2-2 Notification Procedures

Activation of Strategic Planning Division will be directed by the Strategic Planning Division Head (or Chief Strategy Officer) after the Director makes the determination to activate continuity operations. The Strategic Planning Division Manager will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### ERG Chief Responsibilities

When ordered to activate, the NDOT Strategic Planning Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### 2-3 Emergency Relocation Group Members

The *NDOT Strategic Planning Division ERG Team* is derived from the following job titles and functions:

#### A. Leadership Titles

- Strategic planning engineer, licensed to practice engineering in Nebraska, experience in transportation planning and traffic engineering, manages the collection and development of traffic data, oversees the distribution of federal planning funds.
- Performance management engineer, licensed to practice engineering in Nebraska, experience with performance management best practices, data

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visualization, and strategic planning, curates NDOT’s performance measures for all levels of the organizations and creates alignment with the NDOT mission and vision.

- Freight and economic development liaison, experienced in freight planning and supply chain logistics, develops and maintains freight related data to inform decision making, supports economic development through analysis of freight movements and the identification of freight projects.

**B. Staff Titles**

*NDOT Annex O-Appendix 2 Table 1: Strategic Planning Division ERG Team*

Name/Title	ERG Position	MEF Role/Responsibility
<b>Ryan Huff</b> <b>Strategic Planning Division Head (Chief Strategy Officer)</b>	<b>ERG Chief</b>	<b>Oversees the Division and roles of those involved in MEFs listed in this document.</b>
<b>Curtis Nosal</b> <b>Strategic Planning Engineer</b>	<b>ERG Member</b>	<b>Oversees the Planning, traffic counting and traffic forecasting functions. Refer to 2-3, part A for further description of responsibilities.</b>
<b>Korey Donahoo</b> <b>Performance Management Engineer</b>	<b>ERG Member</b>	<b>Oversees performance management activities and curates NDOT performance measures. Refer to 2-3, part A for further description of responsibilities.</b>
<b>Jarrold Walker</b> <b>Freight and Economic Development Liaison</b>	<b>ERG Member</b>	<b>Oversees freight planning and economic development activities. Refer to 2-3, part A for further description of responsibilities.</b>
<b>Linsey Sousek</b> <b>Continuous Improvement Manager</b>	<b>CST Member</b>	<b>Oversees all Continuous Improvement and Lean Six Sigma (LSS) activities at NDOT. These activities are focuses on making teams and processes more efficient and eliminating waste.</b>

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

3-1 Leadership Succession for Strategic Planning Division

*NDOT Annex O-Appendix 3 Table 1: Orders of Succession*

<b>Strategic Planning Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	<b>Strategic Planning Division Head (Chief Strategy Officer)</b>	<b>Ryan Huff</b>
<b>1st Order</b>	<b>Continuous Improvement Manager</b>	<b>Linsey Sousek</b>
<b>2nd Order</b>	<b>Performance Management Engineer</b>	<b>Korey Donahoo</b>
<b>3rd Order</b>	<b>Strategic Planning Engineer</b>	<b>Curtis Nosal</b>

3-2 Delegation of Authority for Strategic Planning Division ERG Chief

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## APPENDIX 4: ALTERNATE FACILITY

### 4-1 Primary Facility

Nebraska Department of Transportation  
1400 Highway 2, 2<sup>nd</sup> Floor  
Lincoln, NE 68509

### 4-2 Location of Alternate Facilities

NDOT Strategic Planning Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the NDOT 5001 Building to serve as an alternate facility for continuity operations when the primary facility is unavailable.

Nebraska Department of Transportation  
5001 S. 14<sup>th</sup> Street, Room 151  
Lincoln, NE 68512

### 4-3 Alternate Facility Site Support Requirements

To adequately support Strategic Planning Division the alternate facility must provide at minimum:

- Space must accommodate up to 4 staff members, since most ERG/CST members can work remotely. If they can, they will work remotely.
- Space must have access to Wifi/State of Nebraska network connectivity.
- Space must accommodate the parking for up to 4 vehicles.
- ADA Compliance
- Sufficient power/water and communications infrastructure

### 4-4 Alternate Facility Site Support Procedures

No specific procedures are necessary for the alternate facility site. Alternate site will be determined by leadership based on location, type and severity of the disaster.

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## APPENDIX 5: ESSENTIAL RECORDS and DATA

### 5-1 Essential Records Identified for Strategic Planning Division

- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/coop/SitePages/Home.aspx>
  - Traffic Forecasting/Counting Team - stored at
    - [\\dotfs\imodal\planning\Traffic Counter Shop\New Folder\KMZ Files](#)
    - [\\dotfs\imodal\planning\Traffic Counter Shop\New Folder\Manual Count Info](#)
  - Planning Team - Essential records are uploaded onto OnBase.
  - Freight and Economic Development Liaison - Essential agreement records are uploaded onto OnBase.
  - The Performance Management Engineer - Essential agreement records are in ACT database.

### 5-2 Essential Data Identified for Strategic Planning Division

- The Performance Management Engineer - All internal performance data is routed through the NDOT data warehouse.

### 5-3 Access to Essential Records and Data During a Continuity Activation

NDOT Strategic Planning Division Manager will work with the NDOT Communications Division to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### 5-4 Essential Record Management Plan

NDOT Strategic Planning Division Manager will work with the NDOT Communications Division to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## APPENDIX 6: EQUIPMENT and RESOURCES

### 6-1 Financial Resources and Budgeting

NDOT Strategic Planning Division Head will work with the NDOT Chief Financial Officer to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### 6-2 Equipment and Resources Identified to Support Continuity Operations

#### Traffic Forecasting/Counting Team

- The following will be required day one to continue field operations.
  - *A vehicle for each manual and portable count person.*
  - *A laptop and serial cable for each portable count person.*
  - *Portable count personnel (per person requirements)*
  - *45 RR3 and/or Unicorn Limited data collection counters*
  - *45 rubber hoses*
  - *90 six-inch nails*
  - *50 Chinese finger hose clamps*
  - *50 hose C-clamps*
  - *Various tools that can be acquired at Home Depot or Menards*
  - *Manual Count personnel - a Jamar Ultra TDC count board per person*
  - *Add any equipment identified in this Annex to the master list maintained in Enclosure (7) Communications Capabilities Master Inventory List.*

### 6-3 Drive-Away Kits Supporting Strategic Planning Division

There are no Drive-Away Kits established to support the functions identified in this Annex.

ERG and CST members are responsible for taking home their laptop and all necessary equipment each night (aside from vehicles and other traffic counting equipment). This includes things like laptop power cords, cell phones, charging cables, spare batteries, and any other basic office supplies. All other vital records and databases are maintained online and will be accessible through remote access.

### 6-4 Equipment Cache(s) Supporting Strategic Planning Division

The Strategic Planning Division also maintains a cache of certain equipment and supplies in the Traffic Counter Shop, which is located on the premises of 5001 S. 14<sup>th</sup> ("the Hill"). This location is where various traffic counting equipment is stored, along with various office supplies. The shop also has Wifi and state of Nebraska Network connectivity. The Strategic Planning Engineer has a key to access the Traffic Counter Shop if needed.

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## APPENDIX 7: COMMUNICATIONS CAPABILITIES

### 7-1 Communications Capabilities Requirements

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex O-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### 7-2 Communications Capabilities & Equipment Inventory List Guidance

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT Strategic Planning Division Head will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Mary Auger	Hwy Traffic Data Collector	402-479-4509	402-860-6467		mary.auger@nebraska.gov
Steph Camerone	Staff Assistant II	402-479-3187			stephanie.camerone@nebraska.gov
Nancy Claassen	Transportation Planner	402-479-4880			nancy.claassen@nebraska.gov
Shayne Daughenbaugh	Process Improvement Coordinator		402-318-2364		shayne.daughenbaugh@nebraska.gov
Korey Donahoo	Performance Management Engineer	402-479-4619	402-730-7357		korey.donahoo@nebraska.gov
Ryan Huff	Chief Strategy Officer	402-479-3797	402-416-8426		ryan.huff@nebraska.gov
David Jones	Process Improvement Coordinator		402-417-9307		david.l.jones@nebraska.gov
Jill Kuhel	Transportation Planner	402-479-3976			jill.kuhel@nebraska.gov
Rachel Kilcoin	Process Improvement Coordinator		402-971-9189		rachel.a.kilcoin@nebraska.gov
Vickie Lange	Transportation Planner	402-479-4877			vickie.lange@nebraska.gov
Kaine McClelland	Transportation Planner	402-479-3937			kaine.mcclelland@nebraska.gov
Jeff Medcalf	Hwy Traffic Data Collector	402-479-4509			jeff.medcalf@nebraska.gov
Curtis Nosal	Strategic Planning Engineer	402-479-4417	402-659-8018		curtis.nosal@nebraska.gov
Ron Ogg	Electronics Tech	402-479-3809	402-314-3031		ron.ogg@nebraska.gov
Jane Olson	Hwy Traffic Data Collector	402-479-4342	402-450-9159		jane.olson@nebraska.gov
Ranae Pilkington	Hwy Traffic Data Collector II	402-479-4509			ranae.pilkington@nebraska.gov

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Name	Title	Business Phone	Cell Phone	Alt Phone	Email
David Schoenmaker	Traffic Data Collection and Analysis	402-479-3924			david.schoenmaker@nebraska.gov
Linsey Sousek	Continuous Improvement Manager		402-432-1244		linsey.sousek@nebraska.gov
Steve Stroud	Electronics Tech	402-479-4509	402-580-5773		steve.stroud@nebraska.gov
Doug Waldvogel	Traffic Data Collection Manager	402-479-3894	402-217-0605		doug.waldvogel@nebraska.gov
Craig Wacker	Hwy Planning Manager	402-479-4623			craig.wacker@nebraska.gov
Jarrod Walker	Freight and Economic Development Liaison	402-479-3188	402-540-0493		jarrod.walker@nebraska.gov

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DEPARTMENT OF TRANSPORTATION

## CONTINUITY OF OPERATIONS PLAN

### Annex P: Traffic Engineering Division

September 2022

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# **NDOT CONTINUITY OF OPERATIONS PLAN**

## **Annex P: Traffic Engineering Division**

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**APPENDIX 1: MISSION-ESSENTIAL FUNCTIONS (MEF)**

**1-1 Mission-Essential Function Objective**

Responsible for making recommendations for traffic functional design features, as well as designing signs, signals, pavement marking and other traffic control devices. Prepare standards and policies for installation, maintenance and construction. Functions as a safety advocate at local, state and federal levels.

**1-2 Mission-Essential Function Priority**

**Table 1. One-day, One-Week, and One-Month Mission-Essential Functions**

Item	Traffic Engineering DIVISION MISSION-ESSENTIAL FUNCTIONS
1	Mission-essential functions that must be performed, given a <b>One Day</b> disruption. (From highest priority to lowest.) <sup>a</sup>
	Prioritize and allocate resources as required
	Provide Traffic Engineering services to NDOT, administration, districts, divisions as needed for traffic control operation, guidance, plans and any other traffic engineering assistance as needed.
2	Mission-essential functions that must be performed given a disruption of greater than One Day, but less than <b>One Week</b> . (From highest priority to lowest.) <sup>b</sup>
	Continue functions listed under item Number 1 above
	Review changes to policies and make adjustments as necessary
	Resume and support Highway Safety Section functions, FARS, SPD, Crash database support, NHTSA grant administration
3	Mission-essential functions that must be performed given a disruption of greater than One Week, but less than <b>One Month</b> . (From highest priority to lowest.) <sup>c</sup>
	Continuation of functions listed under item Number 1 and 2 above
	Resume all Traffic Engineering and Highway Safety functions.

**Table 2- Mission Essential Functions**

ORGANIZATIONAL UNIT	MISSION ESSENTIAL FUNCTION	POSITION/TITLE & (NUMBER OF EACH POSITION)	RESOURCES, EQUIPMENT, SYSTEMS, OR VITAL RECORDS/DATABASE
<b>One-Day Mission Essential Functions</b>			

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Traffic Engineering Division	Provide division support for overall NDOT operations.	Traffic Engineer	Phones, cell phones, email, fax, Computers/Laptops, printers OnBase Internet State Directory
Traffic Engineering Division	Prioritize and allocate Division resources for Traffic Control	Traffic Control Engineer	Phones, email, fax, Computers/Laptops, printers Vehicle OnBase Internet State Directory

The priority order is as listed and recovery time objective has not been determined for of each mission-essential functions included in this functional annex.

**1-3 Mission-Essential Function Procedures**

The procedures required to perform each mission-essential function included in this annex are determined by the ERG Chief at the time in accordance with NDOT Director’s objectives. Cross-reference to standard operating procedure and program manuals maintained in separate documents whenever possible.

**1-4 Mission-Essential Function Partners and Interdependencies**

Partners and Interdependencies for each mission-essential function included in this annex. List by inter-agency partners, federal, state, vendors, etc.

A. NDOT Internal Partners

- Internal partners will be determined in accordance with the type and severity of the disaster.

B. Federal Partners

C. State of Nebraska Partners

D. External Partners

E. Vendors



## **APPENDIX 2: EMERGENCY RELOCATION GROUP**

This Appendix identifies essential staff and their assigned responsibilities to sustain mission-essential functions for Traffic Engineering Division operations provided through the Nebraska Department of Transportation (NDOT).

### **2-1 Emergency Relocation Group Responsibilities**

Prior to a continuity activation Traffic Engineering Division essential staff should:

- Attend continuity training, testing, and exercises as scheduled.
- Keep the ERG Chief apprised of changes in contact information.
- Participate in review and update of Traffic Engineering Division Annex and mission-essential functions annually.
- Participate in alert and notification and personnel accountability drills as required.
- Develop and maintain Drive-Away Kits/equipment caches, as required.
- Develop plan to replicate and store data and essential records identified to support mission-essential functions.
- Develop, compile, and maintain updated standard operating procedures to support mission-essential functions.

### **2-2 Notification Procedures**

Activation of Traffic Engineering Division will be directed by the Traffic Engineer Division Head after the Director makes the determination to activate continuity operations. Traffic Engineer Division Head will follow the alert and notification procedures outlined in Enclosure (1) of the NDOT Continuity of Operations BASE Plan.

#### **ERG Chief Responsibilities**

When ordered to activate, the NDOT Traffic Engineering Division ERG Chief will contact essential staff (ERG/CST members) identified in this annex to inform them of the current situation and activation of continuity operations.

### **2-3 Emergency Relocation Group Members**

The **NDOT Traffic Engineering Division ERG Team** is derived from the following job titles and functions:

#### **A. Leadership Titles**

- Leadership titles for the mission-essential functions included in this annex are listed in Table 1 of this appendix.

#### **B. Staff Titles**

- Staff titles for the mission-essential functions included in this annex are listed in Table 1 of this appendix and/or on the roster maintained by the division.

**NDOT Annex P-Appendix 2 Table 1: Traffic Engineering Division ERG Team**

Name/Title	ERG Position	MEF Role/Responsibility
Dan Waddle <i>Traffic Engineering Division Head</i>	ERG Chief	Continuity Responsibility/Role (Mission-essential function) Authority. Review and approve Traffic Continuity Annex. Begin notification cascade. Oversee and approve all Traffic mission-essential functions. Authority. Review & approve policy changes.
Matt Neemann <i>Traffic Control Engineer</i>	ERG Member	Team Member. Contact Unit Leader Supervisors. All essential Traffic appraisal functions.
Alan Swanson <i>Traffic Analysis Engineer</i>	ERG Member	Traffic Continuity ERG Team Member. Contact Unit Leader Supervisor. All essential Traffic appraisal functions.
Don Butler <i>Highway Safety Engineer</i>	CST Member	Traffic Continuity ERG Team Member. Contact Unit Leader Supervisor. All essential Traffic appraisal functions.
Bill Kovarik <i>Highway Safety Office Administrator</i>	CST Member	Traffic Continuity ERG Team Member. Contact Unit Leader Supervisor. All essential Traffic appraisal functions.

**APPENDIX 3: ORDERS of SUCCESSION and DELEGATION of AUTHORITY**

Orders of Succession are prepared to provide clarity of leadership in the event that individuals serving in senior leadership and/or key decision-making roles are unavailable to perform their duties during a continuity event. During a continuity event the responsibility for mission-essential functions will fall to the successor in the order listed below when the primary person is unable to perform their duties.

**3-1 Leadership Succession for Traffic Engineering Division**

*NDOT Annex P-Appendix 3 Table 1: Orders of Succession*

<b>Traffic Engineering Division</b>		
<b>Succession</b>	<b>Title</b>	<b>Name</b>
<b>Primary</b>	Traffic Engineering Division Head	Dan Waddle
<b>1st Order</b>	Traffic Control Engineer	Matt Neemann
<b>2nd Order</b>	Traffic Analysis Engineer	Alan Swanson
<b>3rd Order</b>	N/A	N/A

**3-2 Delegation of Authority for Traffic Engineering Division ERG Chief**

The signed Delegation of Authority acknowledgement letter is maintained in Enclosure (4) of the NDOT Continuity Plan.

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## **APPENDIX 4: ALTERNATE FACILITY**

### **4-1 Primary Facility**

NDOT Traffic Engineering Division  
1500 Highway 2  
Lincoln, NE 68509

### **4-2 Location of Alternate Facilities**

NDOT Traffic Engineering Division ERG Chief will direct essential staff where and when to report once activated for continuity operations.

NDOT has identified the [alternate facility name] to serve as an alternate facility for continuity operations when the primary facility is unavailable.

[Alternate Facility Name]  
[Street Address]  
[City, State, Zip Code]

### **4-3 Alternate Facility Site Support Requirements**

To adequately support Traffic Engineering Division the alternate facility must provide at minimum:

Information in this section would detail all the requirements for a space to adequately support the staff and customers for each mission-essential function identified in this annex.

This information is used to identify an alternate facility if for any reason the existing alternate facility is unavailable at the time of the continuity activation or any time when a new alternate facility must be established.

Information for this section can be located on the Business Process Analysis worksheet for each mission-essential function. Additional information may be contained in the alternate facility memorandum of agreement signed by the agency.

- The workspace requirements to accommodate the mission-essential functions included in this annex will be determined just in time with regards to the disaster type and severity as well as guidance from the NDOT Director's Leadership team.
- Parking accommodation requirements to accommodate the staff and if applicable the customers access services will be determined day one of the COOP activation.
- Additional site support accommodations requirements to support mission-essential functions at the alternate facility will be determined day one of the COOP activation.
- ADA Compliance

- Sufficient power/water and communications infrastructure

#### **4-4 Alternate Facility Site Support Procedures**

The procedures required to prepare the workspace for staff specifically supporting the mission-essential functions identified in this annex will be determined upon COOP activation.

## **APPENDIX 5: ESSENTIAL RECORDS and DATA**

### **5-1 Essential Records Identified for Traffic Engineering Division**

- State Statutes
- Speed Zone Authorizations
- NDOT/Policies & Procedures
- Calling Tree Code Agencies Contact List
- Emergency Contact Roster
- Central and District Call
- NDOT Continuity of Operations Plan – maintained on Continuity Administration SharePoint site at <https://sharepoint.nebraska.gov/as/Continuity/SitePages/Home.aspx>

### **5-2 Essential Data Identified for Traffic Engineering Division**

- Crash Records Database ARS
- NAPE/AFSCME Agreement Pay Plan

### **5-3 Access to Essential Records and Data During a Continuity Activation**

If needed, the NDOT Traffic Engineer Division Head will work with the NDOT Records Manager to develop an essential records management plan to ensure records created during a continuity event are accounted for, maintained, safe guarded and retained or destroyed appropriately throughout the continuity event.

### **5-4 Essential Record Management Plan**

NDOT Traffic Engineer Division Head will work with the NDOT Records Manager to develop policies and procedures to;

- Ensure accessibility to essential records stored electronically and confirm sufficient replication of electronic data deemed essential to continuity operations.
- Develop a system for safe guarding and pre-positioning essential records at off-site locations, including cloud storage, with adequate redundancies.

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## **APPENDIX 6: EQUIPMENT and RESOURCES**

### **6-1 Financial Resources and Budgeting**

NDOT Traffic Engineer Division will work with the NDOT Controller Division to identify appropriate financial resources to support continuity operations, including working with Risk Management to identify the agency's risk of loss, assessing the agency's risk tolerance, and developing strategies for mitigating against loss.

### **6-2 Equipment and Resources Identified to Support Continuity Operations**

A list of Equipment and Resources required to support the functions identified in this Annex will be determined upon activation of the COOP.

### **6-3 Drive-Away Kits Supporting Traffic Engineering Division**

At this time no Drive-Away Kits were established to support the functions identified in this Annex.

### **6-4 Equipment Cache(s) Supporting Traffic Engineering Division**

At this time no Equipment Cache(s) established to support the functions identified in this Annex.

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## **APPENDIX 7: COMMUNICATIONS CAPABILITIES**

### **7-1 Communications Capabilities Requirements**

Communications Capabilities refers to any and all communication assets (e.g., laptop computer, fax machines) and devices (e.g., cell phone, desk phone, portable radios) required to support each mission-essential function.

Identify the communication requirements for each essential-staff member identified to support the mission-essential function(s) included in this Annex in the attached excel file titled NDOT-Annex P-Appendix 7 Communications Capabilities and Equipment Inventory List.

The Communications Capabilities and Equipment Inventory List spreadsheet will also capture any printers, scanners, and additional equipment and resources required to support the mission-essential functions included in this annex.

The inventory list for this Annex will be combined with NDOT Communications Capabilities and Equipment Master Inventory list maintained in Enclosure (7) of the Continuity BASE Plan.

### **7-2 Communications Capabilities & Equipment Inventory List Guidance**

For essential-staff members identified to support multiple mission-essential functions you will need to add a separate line for each mission-essential function they support.

*Entering data on separate line for each mission-essential function will ensure the communications and equipment requirements are accurately represented for each mission-essential function and allow maximum sorting and filtering of the data in the spreadsheet.*

The same concept applies for staff members who are identified in multiple functional annexes, they should appear in each annexes communications capabilities and equipment inventory listing.

Essential-staff members include;

- Leader accountable for the mission-essential functions in this annex,
- ERG Chief, ERG Members, ERG Teams, and
- CST Members who work directly for the agency and who are not already identified as an ERG Member in this annex or another annex.

Do NOT include CST Members who work for another state agency or CST Members who are already identified as an ERG Member.

Determine the Recovery Time Objective (RTO) for each asset or device for each essential-staff member based on the recovery time for the mission-essential function they are supporting. The RTO for each computer asset or communication device is used for planning purposes only and will be reevaluated at the time of a continuity activation and adjusted based on operational needs.

### Computer Asset Inventory Tab

Identify the existing computer capabilities for each essential-staff member identified for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the essential-staff member's computer asset is identified to support.

### Phones Inventory Tab

Identify the phone capabilities for each essential-staff member or team for each mission-essential function contained in this annex. Enter a separate line for each mission-essential function the phone device is identified to support.

### Printer Inventory Tab

Identify shared printer devices and required to support the mission-essential functions included in this Annex. You may also identify individual or specialty printer devices that are required to support individual essential-staff members for each mission-essential function. Enter a separate line for each mission-essential function the printer device is identified to support.

### Scanner Fax Inventory Tab

Identify standalone scanners and fax devices required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the device is identified to support.

### Additional Equipment Resources Tab

Identify any additional equipment or resources required to support the mission-essential functions included in this Annex. Enter a separate line for each mission-essential function the equipment or resource is identified to support.

## 7-3 Maintaining Communications Capabilities & Equipment Inventory Lists

NDOT [Senior Leader accountable for this Annex] will maintain the Communications Capabilities and Equipment Inventory file for this annex according the NDOT continuity program guidance. See NDOT-Continuity BASE Plan Table 1: Suggested Schedule of Review and Revisions.

NDOT Continuity Manager will consolidate the Appendix 7: Communications Capabilities and Equipment Inventory files from each Annex into a master inventory list maintained in Enclosure (7) Communications Capabilities and Equipment Master Inventory List.

**APPENDIX 8: CONTACT ROSTER**

**8-1 Contact Roster**

Name	Title	Business Phone	Cell Phone	Alt Phone	Email
Dan Waddle	Traffic Engineer	402-479-4594	402-416-1151		dan.waddle@nebraska.gov
Matt Neemann	Traffic Control Engineer	402-479-4594	402-440-3700		matt.neemann@nebraska.gov
Alan Swanson	Traffic Analysis Engineer	402-479-4594	402-416-6026		alan.swanson@nebraska.gov
Don Butler	Highway Safety Engineer	402-479-3580	402-992-2862		don.butler@nebraska.gov
Bill Kovarik	Highway Safety Office Administrator	402-471-2516	402-853-4195		william.kovarik@nebraska.gov

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