

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 150.1A

Approved: 03-31-2014

SUBJECT: CONTINUITY PROGRAMS

1. **PURPOSE.** The purpose of this Order is:
 - a. to assign and describe continuity roles and responsibilities for the Department of Energy (DOE), including the National Nuclear Security Administration (NNSA), herein referred to as the “Department”;
 - b. to establish requirements for planning, preparedness, response, and reconstitution activities of the Continuity Program; and
 - c. to ensure that the Department is ready to respond promptly, efficiently, and effectively to a continuity event involving the Department’s facilities, activities, or operations.
2. **CANCELLATION.** DOE O 150.1, *Continuity Programs*, dated 05-08-08. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual or regulatory obligation to comply with the directive. Contractor Requirements Documents (CRDs) that have been incorporated into a contract remain in effect throughout the term of the contract unless and until the contract or regulatory commitment is modified to either eliminate requirements that are no longer applicable or substitute a new set of requirements.
3. **APPLICABILITY.**
 - a. **Departmental Applicability.**
 - (1) Except for the exclusions in paragraph 3.c., below, this Order applies to all Departmental elements; including elements created after this Order is issued.
 - (2) The NNSA Administrator will assure NNSA employees comply with their respective responsibilities under this Order. Nothing in this Order will be construed to interfere with the NNSA Administrator’s authority under section 3212(d) of Public Law (P.L.) 106-65, The National Nuclear Security Administration Act, to establish Administration-specific policies, unless disapproved by the Secretary.
 - b. **Contractors.** Except for the exclusions listed in paragraph 3.c., the CRD, Attachment 1, applies to the extent set forth in each contract requiring or involving responsibility for work or operations at Departmental sites or facilities that support or perform essential functions.

- c. Equivalencies/Exemptions for DOE O 150.1A.
- (1) Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, *Naval Nuclear Propulsion Program*, codified at 50 U.S.C. sections 2406 and 2511, and to ensure consistency throughout the joint U.S. Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this DOE Order for activities under the Director's cognizance, as deemed appropriate.
 - (2) Exemption. In accordance with the statutory responsibilities and regulatory requirements assigned to Bonneville Power Administration, they are exempt from compliance of this Order as long as they have developed and implemented a comprehensive and integrated Business Resilience Program that encompasses this Order.
 - (3) Exemptions. Equivalences and exemptions from the requirements of this Order are processed in accordance with DOE O 251.1C, *Departmental Directives Program*.

4. BACKGROUND.

- a. Continuity planning is required by the following.
 - (1) National Security Presidential Directive 51 (NSPD 51)/Homeland Security Presidential Directive 20 (HSPD 20), *National Continuity Policy*, dated 5-9-07;
 - (2) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated 11-18-88, as amended;
 - (3) Executive Order 13618, *Assignment of National Security and Emergency Preparedness Communications Functions*, dated 7-6-12;
 - (4) Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program Requirements*, dated 10-19-12; and
 - (5) Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Candidate Primary Mission Essential Function Identification and Submission Process*, dated July 2013.
- b. NSPD 51/HSPD 20 establishes a comprehensive national policy on the continuity of federal government structures and operations and a single National Continuity Coordinator responsible for coordinating the development and implementation of federal continuity policies. The policy also establishes National Essential Functions (NEFs), and prescribes continuity requirements for all executive departments and agencies (D/As) through FCD 1, with a goal to ensure a

comprehensive and integrated national continuity program that will enhance the credibility of our national security posture and enable a more rapid and effective response to and recovery from a national emergency.

- c. The national program contains two primary programs: Continuity of Government and Continuity of Operations.
 - (1) Continuity of Government (COG): A coordinated effort within each branch of government (e.g., the federal government's executive branch) to ensure that NEFs continue to be performed during a catastrophic emergency.
 - (2) Continuity of Operations (COOP): An effort within individual organizations (e.g., federal executive branch D/As) to ensure that Essential Functions (EFs) continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, technological, or attack-related emergencies.

5. REQUIREMENTS. See Chapters I and II.

6. RESPONSIBILITIES. See Chapter III.

7. REFERENCES.

- a. Title XXXII, P.L. 106-65, *The National Nuclear Security Administration Act*, as amended.
- b. *The National Security Act of 1947*, as amended.
- c. *Department of Energy Organization Act*, 42 U.S.C. 7131 st seq.
- d. Title 5, Code of Federal Regulations (CFR) Part 550, Subpart A, Premium Pay, and Subpart D, Payments During Evacuation.
- e. 32 CFR Part 2001, *Classified National Security Information* – Implements the requirements prescribed in Executive Order 13526 for classifying, safeguarding, and declassifying NSI.
- f. 36 CFR Part 1236, *Electronic Records Management*.
- g. 41 CFR 102-74.230-102-74.260, *Occupant Emergency Program*, as amended.
- h. Executive Order 12148, *Federal Emergency Management*, dated 7-20-79.
- i. Executive Order 12344, *Naval Nuclear Propulsion Program*, dated 2-01-82.
- j. Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated 11-18-88.

- k. Executive Order 13514, *Federal Leadership in Environmental, Energy, and Economic Performance*, dated 10-05-09
- l. Executive Order 13526, *Classified National Security Information*, dated 12-29-09, which prescribes the government-wide system for classifying, safeguarding, and declassifying NSI.
- m. Executive Order 13618, *Assignment of National Security and Emergency Preparedness Communications Functions*, dated 7-6-12.
- n. HSPD 5, *Management of Domestic Incidents*, dated 2-28-03.
- o. PPD 7, *National Terrorism Advisory System*, dated 1-26-11.
- p. PPD-8, *National Preparedness*, dated 3-30-11.
- q. PPD-21, *Critical Infrastructure Security and Resilience*, dated 2-12-13.
- r. HSPD 20/NSPD 51, *National Continuity Policy*, dated 5-09-07.
- s. National Security Directive 42, *National Policy for the Security of National Security Telecommunications and Information Systems*, dated 7-05-90.
- t. *National Response Framework*, Department of Homeland Security, dated May 2013.
- u. National Communications System Directive (NCSD) 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated 11-07-11.
- v. Memorandum from Frances Fragos Townsend, Assistant to the President for Homeland Security, “Continuity Policy/Department and Agency Essential Functions,” dated 1-10-05.
- w. OMB Memorandum M-05-16, “Regulation on Maintaining Telecommunications Services during a Crisis or Emergency in Federally Owned Buildings,” dated 6-30-05.
- x. DOE O 100.1E Change 1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, dated 1-28-2013, which establishes the Secretarial Order of Succession pursuant to section 202(a) of the Department of Energy Organization Act, 42 U.S.C. 7132(a), and establishes a mechanism for tracking the locations of successors at various threat levels.
- y. DOE O 151.1C, *Comprehensive Emergency Management System*, dated 11-02-05, which establishes policy and assigns roles and responsibilities for the DOE Emergency Management System.

- z. DOE O 205.1B Change 2, *Department of Energy Cyber Security Program*, dated 5-16-11, which sets forth the requirements and responsibilities for a Departmental Cyber Security Program that protects information systems for DOE.
- aa. DOE O 243.1B Admin Change 1, *Records Management Program*, dated 7-08-13, which establishes requirements and responsibilities creating and preserving records of DOE organization, functions, policies, decisions, procedures and essential transactions and information necessary to protect the legal and financial rights of the government and persons directly affected by DOE activities.
- bb. DOE O 314.1, *DOE-Flex: DOE's Telework Program*, dated 2-11-13, which establishes the requirements and responsibilities for the Department's telework program.
- cc. DOE O 322.1C Admin Change 1, *Pay and Leave Administration and Hours of Duty*, dated 5-10-12, which establishes requirements and responsibilities for the management of pay, including overtime and compensatory time, leave administration, and hours of duty.
- dd. DOE O 414.1D, *Quality Assurance*, dated 4-25-11, which defines roles and responsibilities for providing quality assurance for DOE products and services.
- ee. DOE O 470.4B Admin Change 1, *Safeguards and Security Program*, dated 2-15-13, which establishes responsibilities and program planning and management requirements for the Safeguards and Security Program.
- ff. DOE P 470.1A, *Safeguards and Security Program*, dated 12-29-10, which ensures that DOE efficiently and effectively meets all its obligations to protect Special Nuclear Materials, other nuclear material, classified material, sensitive information, government property, and the safety and security of employees, contractors, and the general public.
- gg. DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 3-1-10, establishes requirements for managing the DOE program for identifying and protecting UCNI.
- hh. DOE O 471.3, Admin Chng 1, *Identifying and Protecting Official Use Only Information*, 1-13-2011 and DOE M 471.3, Admin Chng 1, Manual for Identifying and Protecting Official Use Only Information, 1-13-2011, which establishes requirements for the DOE program to identify certain unclassified information as Official Use Only and to identify, mark, and protect documents containing such information.
- ii. DOE O 475.1, *Counterintelligence Program*, dated 12-10-04, as amended, which establishes the Counterintelligence Program requirements and responsibilities for DOE, including NNSA.

- jj. DOE O 475.2A, *Identifying Classified Information*, dated 2-1-11, which establishes requirements for managing the DOE program including details for classifying and declassifying information, documents, and material classified under the Atomic Energy Act [Restricted Data, Formerly Restricted Data, and Transclassified Foreign Nuclear Information] or Executive Order 13526 [National Security Information], so that it can be protected against unauthorized dissemination.
 - kk. DOE O 481.1C Admin Change 1, *Work for Others (Non-Department of Energy Funded Work)*, dated 3-14-11, which establishes the performance of work for non-Departmental entities by Departmental personnel and/or their respective contractor personnel or the use of Departmental facilities for work that is not directly funded by Departmental appropriations.
8. **DEFINITIONS.** See Attachment 2.
9. **IMPLEMENTATION.**
- a. Full compliance with this Order and any changes made to this Order must be accomplished within 1 year of issuance.
 - b. If compliance cannot be accomplished within 1 year, an implementation schedule must be developed and submitted to the Director, Office of Emergency Operations through the appropriate program secretarial office (PSO) or staff office director.
10. **CONTACT.** For assistance regarding this directive, contact the Continuity Program Office at 301-903-3766.

BY ORDER OF THE SECRETARY OF ENERGY



DANIEL B. PONEMAN
Deputy Secretary

CHAPTER I: CONTINUITY PROGRAM REQUIREMENTS

1. **GENERAL.**
 - a. A Departmental continuity program comprised of COG and COOP programs must be established to:
 - (1) ensure the Department can continue to perform essential functions, and support NEFs (see the DOE COOP Plan);
 - (2) ensure readiness by addressing all programmatic elements of a continuity program;
 - (3) ensure that the requirements established in NSPD 51/HSPD 20, Executive Order 13618, and the program elements specified in FCDs 1 and 2 are addressed;
 - (4) address preparedness and response to infectious disease/pandemic influenza and cyber events; and
 - (5) Identify work for others (deemed a Mission Essential Function (MEF) or a Primary Mission Essential Function (PMEF) by another organization) and their interdependencies.
 - b. This Order is not intended to require new or redundant programs when the requirements of this Order can be satisfied through or integrated with existing programs (i.e., emergency management, security, cyber, etc.).
 - c. The requirements of this Order shall be coordinated with the requirements of DOE O 151.1C, which provides the framework for the development, coordination, and control and direction of all emergency planning, preparedness, readiness assurance, response and recovery actions, and DOE and NNSA operational emergencies.
2. **CONTINUITY PROGRAM.**
 - a. The Department must develop and implement a continuity program. The Department's Continuity Program must be documented in an overarching plan.
 - b. All Departmental elements must have a continuity capability that is documented in a COOP Plan that reflects the scope of the mission they will perform for the Department during a continuity event, in alignment with FCD 1. The continuity capabilities must cover, to varying degrees, the requirements as described in this Order.
 - c. As required by FCD 1, all levels of all Departmental elements must maintain responsibility to ensure the continuation of essential functions during a continuity

event by sustaining a documented and viable continuity capability to support not only HQ operations, but their own operations.

- d. PSOs and Staff Offices. Each PSO and staff office must:
 - (1) plan and implement a COOP program commensurate with responsibilities to ensure the performance of essential functions, and ensure that it addresses infectious disease/pandemic influenza and cyber events;
 - (2) document/reference and address all continuity elements in a COOP plan;
 - (3) identify a field element that will assume responsibilities during a devolution event; and
 - (4) ensure that continuity programs and plans are aligned with and support the DOE COOP Plan and their devolution site's COOP plan.
- e. Field Elements. Each field element must:
 - (1) plan and implement a COOP program commensurate with responsibilities to ensure the performance of essential functions, and ensure that it addresses infectious disease/pandemic influenza and cyber events;
 - (2) document/reference and address all continuity planning elements in a COOP plan;
 - (3) ensure that COOP programs and plans are aligned with and support the DOE COOP Plan, the relevant PSO or staff office COOP plan, appropriate field element emergency management plan, and contractor's COOP program, if applicable; and
 - (4) address their support for non-Departmental entities' essential functions. The documentation of work for others ensures implementation with the field element's role in supporting the execution during a continuity event.
- f. Capabilities. All elements must have the ability to:
 - (1) implement the Continuity Program with or without warning;
 - (2) perform PMEFs as soon as possible after the occurrence of the continuity event, but no later than 12 hours after COOP activation; and
 - (3) sustain continuity operations for up to 30 days and, during an infectious disease or pandemic event, for up to 60 days.
- g. COOP Planning. COOP planning must:

- (1) provide for deferring non-essential functions until additional resources become available and as the situation permits;
- (2) outline a decision process for determining appropriate actions in implementing COOP plans and procedures including continuity of government condition (COGCON) changes and security condition (SECON) changes;
- (3) reduce or mitigate disruptions to operations and minimize property damage and loss of life;
- (4) include an order of succession with accompanying delegations of authority, including a provision for devolution;
- (5) provide procedures for the orientation of COOP personnel;
- (6) provide procedures for conducting operations and administrations at alternate operating facilities (AOFs);
- (7) provide procedures for non-COOP personnel, staying informed during the event;
- (8) provide procedures for non-COOP personnel for teleworking and accountability during the event;
- (9) address infectious disease/pandemic influenza and cyber threats to the Department's facilities;
- (10) address work for others at the Department's facilities, as applicable;
- (11) provide for the reconstitution of capabilities and the transition from a continuity event to normal operations; and
- (12) ensure and validate continuity readiness through a dynamic and integrated continuity Test, Training, & Exercise (TT&E) program.

3. **PROGRAM MANAGEMENT.**

The National Continuity Policy recognizes that a Department's resiliency is directly related to its continuity capability. A Department's continuity capability – its ability to perform its essential functions continuously – rests upon key components along with the elements of a continuity program.

a. **Budgeting and Acquisition of Resources.**

- (1) The Department, including each individual PSO, staff office, and field element, must identify and provide continuity funding and specific budgetary requirements, to establish and maintain a viable continuity

capability. The Department must also identify provisions for the acquisition and procurement of necessary equipment, supplies, resources, and personnel that are not already in place at the continuity facilities and needed to sustain operations until normal operations resume.

- (2) Each PSO, staff office, and field element must identify and integrate continuity requirements into existing and future contracts, as applicable, to ensure continuation of essential functions during a continuity event until normal operations resume.

b. Risk Management.

Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.

- (1) Identify, evaluate, and assess potential hazards to the implementation of MEFs, determine what levels of relative risk are acceptable for MEFs, and prioritize and allocate resources and budgets to ensure continuity of MEFs during continuity events. Hazard and risk assessments performed for other Departmental requirements may be combined with COOP risk management to ensure continuity of MEFs.
- (2) Risk Assessment. The Department, including applicable PSOs, staff offices, and field elements, must conduct and document a risk assessment to include a Business Impact Analysis, at least every 5 years for all capabilities associated with the continuance of MEFs, to include primary operating facilities, continuity facilities, personnel, systems, and essential records. The risk assessment must include:
 - (a) identification of a known potential risk (earthquake, fire, flood, effects of climate change, etc.), and the likelihood of its occurrence, which has direct impact on the ability of the organization to support the continuation of an MEF;
 - (b) an assessment of the vulnerability of the organization and its MEFs to an identified hazard; and
 - (c) an assessment of the impact of the failure of the identified MEF caused by an identified hazard.
- (3) Risk Mitigation.
 - (a) develop risk mitigation strategies and potential options for managing risk to MEFs and analyzing the costs and benefits of these strategies;
 - (b) determine mitigation and protective measures, as appropriate; and

- (c) implement risk mitigation strategies.

4. PROGRAM ELEMENTS.

a. Essential Functions.

- (1) Serve as the framework for the Continuity Program and consist of PMEFs, MEFs, essential supporting activities (ESAs), and the resources needed to accomplish and sustain these functions and activities during all phases of a continuity event, including reconstitution. See the latest DOE COOP Plan for the current listing of essential functions.
- (2) The Continuity Program Office must identify the MEFs and PMEFs using the business process methodology outlined in FCD 2, and document them in the DOE COOP Plan.
- (3) PSOs, staff offices, and field elements must:
 - (a) identify the essential functions that their office is responsible for; and
 - (b) identify their support for non-Departmental entities, to include work performed by the Department and/or their respective contractor personnel, and the use of Departmental facilities that is not directly funded by Departmental appropriations.
- (4) COOP personnel that perform essential functions for each PSO, staff office, and field element must be identified.
 - (a) A list of those personnel should be identified by each PSO, staff office, and field element is sent to the Continuity Program Office, where they will be designated as members of the Continuity Emergency Response Group (CERG).
 - (b) CERG members must have the authority to perform their organization's essential functions.

b. Orders of Succession. Orders of succession must be established with accompanying delegations of authority in the event a disruption renders leadership unable, unavailable, or incapable of assuming and discharging their duties and responsibilities of office.

- (1) The DOE Secretarial Order of Succession that must be established pursuant to section 202(a) of the Department of Energy Organization Act, 42 U.S.C. 7132(a) and delegations of authority are contained in DOE O 100.1E.

- (2) PSOs, staff offices, and field elements must establish orders of succession for key positions within their organizations, to include devolution personnel if applicable, to ensure support for the Secretary and the execution of the essential functions when necessary.
 - (3) Succession orders must include position or title, a description of conditions under which succession will take place, method of notification, any limitations of authority, and the circumstance of termination of succession order.
 - (4) All orders of succession must include at least three positions permitted to succeed to the identified position, with at least one geographically dispersed individual.
- c. Delegations of Authority. Establish clear delegations of authority to accompany each order of succession in the event a disruption renders leadership unable, unavailable, or incapable of assuming and discharging their duties and responsibilities of office.
- (1) PSOs, staff offices, and field elements must establish delegations of authority, outlining explicitly in a statement the authority, including any exceptions, of an official so designated to exercise organizational direction, including for making policy decisions when normal channels of direction are disrupted.
 - (2) Delegations of authority must include clear descriptions of the circumstances under which the delegated authorities would take effect, and procedures designated officials must follow to carry out delegated duties and the circumstance of termination of delegated authority.
 - (3) Delegations of authority must outline the method of notification, the duration the delegations may last, conditions when the delegations may be terminated or re-delegated, and any temporal, geographical, or organizational limitations to the authorities granted by the orders of succession or delegations of authority.
- d. Alternate Operating Facilities (AOFs).
- (1) AOFs used for performing essential functions with minimal disruption of operations must be identified, prepared, and maintained.
 - (2) Field elements shall take maximum advantage of existing infrastructures and consider whether the field element's essential functions and activities can be executed from Headquarters (HQ) or another field element during a continuity event.

- (3) An all-hazard risk assessment must be conducted in the selection and planning of AOFs.
 - (a) The following factors must be considered during the selection phase: geographic location; power; telecommunications and internet service availability; health, safety, security and emotional well-being of relocated employees; and the distance from hazardous areas or facilities.
 - (b) Hazard and risk assessments performed for other Departmental requirements may be used, but must be documented/referenced in the COOP plan.
 - (4) Review AOFs for their suitability and functionality at least annually, to ensure that the facilities continue to meet continuity requirements. AOFs must:
 - (a) provide sufficient space and equipment to sustain relocation operations for 30 days;
 - (b) be selected with the capability of sustaining operations for 60 days for infectious disease/pandemic influenza;
 - (c) provide safety and security for personnel and operations;
 - (d) provide reliable logistical support, services, infrastructure systems, and emergency power;
 - (e) be equipped to perform PMEFs within 12 hours of activation and until normal business activities can be reconstituted;
 - (f) provide interoperable communications and means for secure communications if needed; and
 - (g) provide necessary computer equipment, software, and hardware.
 - (5) Personnel must have the capability to access unclassified information systems in order to perform officially assigned duties from home, telework centers, designated alternate facilities, or other approved locations in accordance with DOE O 314.1.
- e. Continuity Communications. See Chapter II.
- f. Essential Records.
- (1) An essential records program must be established in accordance with DOE O 243.1B.

- (2) Titles of records that are essential to accomplish associated essential functions must be identified in a COOP plan.
- (3) Duplicate records or back-up electronic files must be prepositioned or otherwise available at an AOF and devolution site.
- (4) PSOs, staff offices, and field elements must ensure that after continuity activation the CERG/Devolution Emergency Response Group (DERG) has access to their essential records as soon as possible, but in all cases within 12 hours.
- (5) PSOs, staff offices, and field elements must account for the identification and protection of essential records, systems, data management software, and equipment. These essential records may include classified and/or other sensitive data, as necessary to perform essential functions, and to reconstitute normal operations after the continuity event.
- (6) PSOs, staff offices, and field elements must maintain a complete inventory of essential records. The inventory must include locations of and instructions for accessing those records.
- (7) PSOs, staff offices, and field elements must annually review their essential records program to address new security issues, identify problem areas, update information, and incorporate any additional essential records generated by new organizational programs or functions, or by organizational changes to existing programs or functions. Organizations must document the date of the review and the names of personnel conducting the review.

g. Human Resources.

- (1) COOP human resources planning encompasses the federal and Departmental policies regarding employees in an emergency situation and follows requirements of 5 CFR Part 550, Subparts A and D and DOE O 322.1C.
- (2) In addition to federal and Departmental policies, COOP human resources planning must consider staffing needs during continuity events (including infectious disease/pandemic influenza), designation of CERG members, status of non-emergency employees, communication with employees, staffing flexibility, pay and leave flexibility, work schedules, dismissal and closure policies, use of alternative worksites, and telework policies.
- (3) The Department must establish and maintain point-of-contact (POC) rosters of CERG and DERG members. The Department must update these rosters periodically and include, at a minimum, names, home, work, and cellular telephone numbers. Employees identified as CERG/DERG

members must have a designee letter and appropriate telework agreement, which are referenced in their organizations' COOP plans.

- (4) Methods of notifying and communicating with all employees (PSO, staff offices and field elements) about COOP issues and the ability to communicate and coordinate activities with all personnel; continuity facilities and support teams; organizations with which the affected organization interacts; customers; and stakeholders before, during, and after a continuity event, including alert and notification must be documented in COOP plans.
- (5) Each PSO, staff office, and field element must establish a personnel accountability program to document the location, contact information, and well-being of all personnel during a continuity event.

h. Testing, Training, and Exercises (TT&E).

- (1) A TT&E program must be developed and implemented to assess, demonstrate, and improve the Department's ability to respond to a continuity event. The TT&E program may be integrated with other TT&E programs.
- (2) A multi-year TT&E plan, along with a planning calendar addressing exercise requirements and resources to support these activities, must be developed and implemented.
 - (a) Testing.
 - 1 Testing of COOP alert and notification procedures for HQ and field elements must be conducted quarterly.
 - 2 Contact numbers must be available at each AOF to permit communication among HQ, field, elements, other federal D/As, and various customers.
 - 3 Communications equipment at the HQ Emergency Operations Center (EOC) Watch Office and the Alternate Operations Centers (AOCs) must be tested quarterly to ensure that available communications are redundant and sufficient to meet continuity event requirements.
 - 4 Recovery of essential classified and unclassified records (including controlled unclassified records); and critical information systems, services, and data must be tested annually.
 - 5 Primary and backup infrastructure systems and services at the AOFs must be tested annually.

(b) Training.

- 1 An annual COOP awareness briefing or other means of orientation must be conducted for the Department's workforce.
- 2 Annual training for all organization personnel designated within the orders of succession for Departmental Head or other key positions who assume the authority and responsibility of the organization's leadership must be conducted.
- 3 Annual training for those officials listed within the delegations of authority on all pre-delegated authorities for making policy determinations and other decisions, at the HQ, regional, field, and other organizational levels, as appropriate, must be conducted.
- 4 Annual individual and team training provided to CERG and DERG members must familiarize members with:
 - a alert, notification, and deployment procedures;
 - b the activation of continuity plans, including unannounced relocation to alternate sites, to include telework options, and devolution of operations to devolution sites;
 - c reconstitution plans and procedures to resume normal operations;
 - d the skills necessary to implement COOP plans and carry out essential functions, communication systems, and reconstitution, to include information technology (IT) systems to be used during a continuity or devolution event.

(c) Exercises.

- 1 Exercises serve to assess and validate the integration and practicality of all aspects of COOP plans, policies, procedures, systems, and facilities used in response to a continuity event.
- 2 An annual, formally-documented, continuity exercise must be conducted. The exercise may be part of a larger emergency management exercise.

- 3 The exercise must provide the opportunity for CERG members to demonstrate familiarity with COOP plans, the capability to perform essential functions, and include a demonstration of intra-agency communication capabilities.
 - 4 A comprehensive debriefing must be conducted after each exercise, where participants identify systemic weaknesses in plans and procedures, and recommend revisions to the COOP plans.
 - 5 Drills are supervised, hands-on instruction/application sessions, which can be used to test a specific area or function.
 - (3) COOP TT&E must be documented and deficiencies identified. Exercises, as well as any actual activations of COOP plans, must be documented in an after action report. Corrective actions must be identified and tracked through a corrective action system to completion.

i. Devolution.

 - (1) The COOP program must address the possibility that leadership and staff may be unavailable or incapable of supporting the execution of essential functions from either the primary or the alternate locations. Under such circumstances, leadership must transfer the operations or command and direction of essential functions to another geographical location until normal operations can resume.
 - (2) Devolution of Operations. The COOP program must address the possibility that staff may be unable to execute their essential functions and be forced to transfer operations of essential functions to another geographical location.
 - (a) PSOs, staff offices, and field elements must:
 - 1 include devolution of operations as part of their continuity plan;
 - 2 address how it will execute the devolved essential functions of another PSO, staff office, or field element;
 - 3 address how it will execute its essential functions when they receive the devolved operations of another PSO, staff office, or field element;
 - 4 address the following viable continuity capability during devolution: essential functions, orders of succession and delegations of authority specific to the devolution site,

continuity communications, essential records management, human resources, and reconstitution;

- 5 identify and create a roster identifying DERG members who have the authority to perform essential functions when the devolution option of the continuity plan is activated;
- 6 specify how and when direction and control of organization operations will be transferred to and from the devolution site, also known as the “trigger;” and
- 7 establish and maintain procedures in order to transition responsibilities to personnel at the primary operating facilities upon termination of devolution.

(3) Devolution of Control and Direction. The COOP Program must address the possibility that leadership may be unavailable or incapable of supervising the execution of essential functions from either the primary or the alternate locations. Under such circumstances, leadership must transfer control and direction of essential functions to another geographical location (i.e., field sites, HQ, etc.).

- (a) PSOs, staff offices, and field elements must:
- 1 include devolution of control and direction as part of their continuity plan;
 - 2 identify personnel with the authority to control and direct essential functions at the pre-designated devolution site;
 - 3 have pre-designated delegations of authority in place to establish authority to make determinations and decisions;
 - 4 address the following viable continuity capability during devolution: essential functions, orders of succession and delegations of authority specific to the devolution site, continuity communications, essential records management, human resources, and reconstitution;
 - 5 determine the necessary resources to facilitate immediate and seamless transfer of those functions to the devolution site;
 - 6 specify how and when control and direction of organization operations will be transferred to and from the devolution site, also known as the “trigger;”

- 7 establish and maintain reliable processes and procedures for acquiring the resources necessary to continue control and direction of essential functions and to sustain those operations for extended periods; and
- 8 establish and maintain procedures in order to transition responsibilities to personnel at the primary operating facilities upon termination of devolution.

j. Reconstitution.

- (1) The Department must develop a plan and provide the ability to recover from the effects of a continuity event and for transitioning back to efficient normal operational status from continuity operations, once a threat or disruption has passed. All reporting requirements for reconstitution will be handled by the Continuity Program Office.
- (2) PSOs, staff offices, and field elements must:
 - (a) pre-plan and coordinate movement from the alternate or devolution location to the original operating facility or a new operating facility, if necessary. Procedures for a smooth transition must be outlined and include a phased, priority-based approach to return of operations, personnel, records, and equipment to the primary or other operating facility in a timely manner, when appropriate;
 - (b) develop a plan and provide the ability to recover from the effects of a continuity event and for transitioning back to efficient normal operational status from continuity operations, once a threat or disruption has passed; and
 - (c) conduct an after-action review of COOP operations and effectiveness of plans and procedures to identify areas for correction. Remedial action plans must be developed as soon as possible after reconstitution.

5. IMPLEMENTATION.

a. Notification.

- (1) The Federal Emergency Management Agency (FEMA) Operations Center (FOC) makes the appropriate COGCON level notifications to the executive branch D/As. The COGCON levels establish the required readiness level for the federal government.
- (2) The HQ EOC Watch Office and the Continuity Program Office serve as the principal POCs for receipt of continuity event notifications and reports from FEMA.

- (3) Each PSO, staff office, and field element must develop a preplanned, decision-making matrix that can be used to evaluate and determine whether it is necessary to activate the continuity plan, based on the event or its effect on the status of the Department.
- (4) Each PSO, staff office, and field element must develop a process to submit a Continuity Status Report (CSR) to the Continuity Program Office during a change of continuity condition, including FEMA directed COGCON changes, a continuity event and/or plan activation.
- (5) Depending on the situation, the Continuity Program Office initiates internal notifications pursuant to the DOE COOP Plan to organizational leadership, COOP coordinators, the field, and others, as necessary, to provide direction relating to changes in COGCON level or COOP plan activation.
- (6) The Continuity Program Office must issue a report to the FEMA that the appropriate COGCON level has been achieved.
- (7) During a continuity event, the HQ Watch Office will serve as the focal point to receive and disseminate information, as required, to FEMA and other agencies.
- (8) PSOs, staff offices, and field elements must notify, and coordinate with, State, tribal, territorial, and local entities, as appropriate.

b. Activation and Relocation.

Once a decision is made to activate the DOE COOP Plan, PSOs and staff offices must implement their COOP plans as instructed in the notification. Field elements affected by the event must implement their COOP plans, as necessary, to support HQ.

The CERG provides leadership, performs essential functions, and provides logistics and other support during a continuity event.

- (1) PSOs and staff offices.
 - (a) An HQ CERG must be established for a continuity event affecting HQ.
 - (b) The HQ CERG is comprised of the Continuity Emergency Management Team (CEMT) and the Continuity Support Team (CST). Field elements must provide support to the HQ CERG, when required.
 - (c) The Continuity Program Office will activate the HQ CEMT facility. The room's operations will be facilitated by the Continuity

Program Office or a senior manager from the Office of Emergency Operations.

- (d) The CEMT staffing, activation, mission, functions, and responsibilities are described in the DOE COOP Plan.
- (e) Essential COOP personnel for each PSO and staff office comprise the CST. CST members must be identified in the COOP plan and trained.
- (f) Response to a HQ continuity event must be coordinated with the HQ Occupant Emergency Plan (OEP) and the HQ Emergency Management Team, if applicable.

(2) Field Elements.

- (a) Field elements must establish their own CERG for continuity events affecting their facilities.
- (b) The field element manager may activate a CERG to oversee COOP operations at the appropriate site.
- (c) The field element manager must ensure notification and situational reports are provided to the Continuity Program Office, so notification to FEMA/Department of Homeland Security (DHS) can be made.
- (d) The field element manager or designee will communicate with State, local, territorial and tribal governments, the media, and the public, as appropriate.
- (e) HQ will communicate with national leadership, other federal agencies, and media as applicable.
- (f) Field element COOP programs must work in concert with the appropriate field emergency management programs.

c. Mission Readiness Program.

- (1) Each PSO, staff office, and field element must establish a Mission Readiness Program to ensure that essential functions can be performed during a continuity event. Mission Readiness Programs at the PSO, staff office, and field element level may be part of another readiness assurance program. The Mission Readiness Program consists of the following components.
 - (a) Assessments of COOP Programs. Each PSO, staff office, and field element must be responsible for monitoring and/or ensuring

completion of the following items within its own program office, staff office, or field element.

- 1 Identify findings (i.e., strengths, improvements, deficiencies) in continuity programs; training, testing, and exercises; plans and procedures.
 - 2 Provide assurance that capabilities are sufficient to implement COOP plans.
 - 3 COOP assessment activities can include program and exercise evaluations and performance indicator tracking. Activities can be conducted with emergency management readiness assurance evaluation activities.
 - 4 A review of COOP programs must be conducted at least once every 3 years to ensure compliance with the Order by a technically qualified entity not directly involved with the development of that COOP program or the Continuity Program Office. Results must be documented in the Continuity Readiness Assurance Report (CRAR).
 - 5 PSOs, staff offices, and field elements must conduct annual self-assessments of their COOP plan. Self-assessment results must be documented in the CRAR.
 - 6 PSOs and field elements must periodically review and evaluate the ability of contractor-operated facilities to ensure compliance with the Order; results must be documented in the CRAR.
 - 7 COOP program evaluations must be based on the requirements of this Order.
 - 8 Evaluations of the COOP program may be combined with other evaluation programs.
 - 9 Evaluation reports must be completed within 30 working days of completion of the assessment.
- (b) Improvements. Each PSO, staff office, and field element must ensure appropriate and timely improvements are made in response to needs identified through coordinated COOP planning, resource allocation, program assistance activities, evaluations, training, drills, exercises, and actual COOP activations.
- (c) Corrective Actions. A Corrective Action Program (CAP) must be developed and implemented to assist in documenting, prioritizing,

and resourcing continuity issues identified during training, testing, exercises, assessments, and actual COOP activations.

- 1 Continuous improvement of the COOP program results from implementation of corrective actions from findings.
- 2 CAPs must be developed within 30 working days of receipt of a final report from TT&E or an assessment.
- 3 Corrective actions must be completed as soon as possible.
- 4 Corrective actions addressing revision of procedures or training of personnel should be completed before the next self-assessment of the program.
- 5 A verification and validation process must be accomplished by someone independent of those who performed the corrective action. This process verifies the corrective action has been completed and validates the effective resolution of the original finding.

(d) Lessons Learned. The Mission Readiness Program must include a system for incorporating and tracking lessons learned from training, drills, and actual COOP activations.

(e) Continuity Readiness Assurance Report (CRAR). The CRAR documents the readiness of the COOP program, based on planning and preparedness activities and the results of the assessment, including evaluations and improvements. The report is a planning tool used to identify and develop needed resources and improvements, and to highlight changes and achievements in the program. More specifically, the report must identify what the goals were for the fiscal year that ended, and the degree to which these goals were accomplished. This report must also identify the goals for the next fiscal year.

- 1 The PSO, staff office, or field element uses the CRAR to document that the office participated in an annual exercise that incorporates the deliberate and preplanned movement of continuity to an alternate site, and the date of the exercise.
- 2 PSOs, staff offices, and field elements may submit CRARs as appendices to Emergency Readiness Assurance Plans, if applicable.

- 3 Field elements must provide copies of CRARs to their appropriate program office.
- 4 CRARs must be provided to the Director, Office of Emergency Operations by November 30 of each year.
- 5 The Continuity Program Office must submit an annual status report that summarizes continuity readiness assurance to the Deputy Secretary by April 30 of each year.

6. PROGRAM ADMINISTRATION.

a. Personnel Requirements.

All elements subject to this Order must designate an individual to administer the organization's COOP program.

b. COOP Plans.

- (1) The DOE COOP Plan documents the COOP Program and addresses procedures to ensure the Department's ability to accomplish its essential functions during a continuity event.
- (2) Each PSO, staff office, or field element must develop a COOP plan that details the COOP program, responsibilities, and procedures to support the DOE COOP Plan.
- (3) All plans must:
 - (a) include COOP elements, as indicated in this Order;
 - (b) identify essential functions to ensure accomplishment during a continuity event;
 - (c) address orders of succession and delegations of authority, to include predetermined delegations of authority for policy determinations and decisions that take effect when normal channels of direction are disrupted;
 - (d) identify AOFs and their capabilities;
 - (e) describe COOP notification and COOP plan activation procedures;
 - (f) outline a decision process for determining appropriate actions for implementing COOP plans and procedures;
 - (g) address planning for devolution, including identifying the devolution site and its capabilities;

- (h) address human resources issues;
 - (i) address planning and response to infectious disease/pandemic influenza;
 - (j) describe the TT&E program;
 - (k) address reconstitution planning;
 - (l) address work for others, if applicable;
 - (m) address response to a cyber event; and
 - (n) address the Mission Readiness Program.
- (4) In addition to the above, each PSO, staff office, or field element must:
- (a) identify CERG members for their offices;
 - (b) identify essential records;
 - (c) identify methods for notification of and communications with employees; and
 - (d) establish a personnel accountability program for the office;
- c. Multi-Year Strategic Program Management Plan. The Departmental Multi-Year Strategic Program Management Plan must be developed to define the resources necessary to develop and maintain a functional COOP program.
- (1) The plan must provide for the development, maintenance, and annual review of continuity capabilities, requiring an organization to consider:
- (a) performance of essential functions;
 - (b) both short-term and long-term goals and objectives for plans and procedures;
 - (c) issues, concerns, and potential obstacles to implementing their program, as well as a strategy for addressing them, as appropriate;
 - (d) planning, training, and exercise activities, as well as milestones for accomplishing these activities;
 - (e) CERG members, infrastructure, communications, transportation, and other resources needed to support the program,
 - (f) budgetary requirements to support the program;

- (g) risk management principles; and
 - (h) the plan must be updated and published annually.
- d. Classification and Controlled Unclassified Information Review. If the site/facility/activity generates classified or controlled unclassified information (i.e., Unclassified Controlled Nuclear Information (UCNI) or Official Use Only (OUO) information), or is conducting operations that are classified or identified as UCNI or OUO, then all COOP plans, procedures, scenarios, and assessments must be reviewed for classified information, UCNI, or OUO information by a Derivative Classifier, UCNI Reviewing Official, or by the PSO (for reviews of OUO) as appropriate for the type of information in the document. Documents not otherwise determined to be classified or UCNI must be identified as OUO and handled accordingly.

CHAPTER II: COMMUNICATIONS REQUIREMENTS

1. **GENERAL.** Continuity events requiring evacuation of a primary location, the relocation to AOFs, and/or activation of communications at AOFs may be reported internally and to the public. Communications requirements for continuity events do not supplant other required notifications and reporting delineated under legislation, implementing regulations, and DOE Orders.
2. **PLANNING PHASE.**
 - a. For continuity events requiring evacuation of primary work facilities and relocation to AOFs, provisions must be established to permit prompt initial notification of all affected workers at the Department's HQ, and other Departmental facilities.
 - b. Notifications can be accomplished by automated calling systems, intra-office telephone trees, or other established methods.
 - c. HQ facilities (Forrestal and Germantown) and the NNSA Albuquerque Complex must meet the minimum requirements for continuity communications capabilities established in NCSD 3-10 for a tier-one agency. Communication capabilities identified in NCSD 3-10 at HQ and the NNSA Albuquerque Complex will be tested quarterly and reported.
 - d. PSOs, staff offices, and field elements must possess interoperable communications capabilities in sufficient quantity and type that are commensurate with their responsibilities during conditions of a continuity event based on their essential functions.
 - e. PSOs, staff offices, and field elements must issue all CERG members Government Emergency Telecommunications Service (GETS) cards and ensure the cards are tested quarterly.
 - f. PSOs, staff offices, and field elements must plan for communicating with public entities, including State, local, tribal and/or territorial entities, as needed, before, during, and after a continuity event.
 - g. The communication capabilities of AOFs must include:
 - (1) capabilities commensurate with the essential functions;
 - (2) the ability to communicate with CERG members, Departmental employees, leadership, and other Departmental elements;
 - (3) the ability to communicate with State and local officials, other federal agencies and their COOP sites, and critical customers;

- (4) redundant communication systems available for use, as appropriate;
- (5) the ability to access data systems and services; the local area network; essential electronic records; critical information systems and data; internal and external e-mail files; and archives necessary to conduct essential functions;
- (6) communications and IT capabilities that are operational as soon as possible following COOP activation, but within 12 hours of notification; and
- (7) an office plan that describes communication capabilities if different than those contained in the DOE COOP Plan.

3. **PREPAREDNESS PHASE.**

- a. See Chapter I, paragraph 3.h.(2)(a)3 for communication testing requirements.
- b. Communications testing requirements will be in accordance with NCS 3-10.

4. **RESPONSE PHASE.**

- a. The Continuity Program Office and the HQ EOC Watch Office staff will receive notifications from the FOC regarding a continuity event. The Continuity Program Office will make the appropriate notifications.
- b. Initially, field elements must notify the Continuity Program Office or the HQ EOC Watch Office of a continuity event, using either the CSR form (available in the DOE COOP Plan), via phone call or the site's own reporting form, which meets the criteria of the DOE form, providing as much information as is known at the time. If sites use their own form, it must be transmitted to the same addresses as the CSR.
- c. Subsequent CSR should include, at the minimum, the following:
 - (1) the fact a continuity event has been declared;
 - (2) a description of the situation;
 - (3) the date and time the continuity event was declared;
 - (4) if an AOF has been activated;
 - (5) information on damage and casualties;
 - (6) the status of other facility/site operations or program activities; and
 - (7) notifications that have been made.

- d. Classification and Controlled Unclassified Information Review. If the site/facility/activity generates classified or controlled unclassified information (i.e., UCNI or OUO information), or is conducting operations that are classified or identified as UCNI or OUO, then all COOP plans, procedures, scenarios, and assessments must be reviewed for classified information, UCNI, or OUO information by a Derivative Classifier, UCNI Reviewing Official, or by the PSO (for reviews of OUO) as appropriate for the type of information in the document. Documents not otherwise determined to be classified or UCNI must be identified as OUO and handled accordingly.

CHAPTER III: RESPONSIBILITIES

1. **DEPUTY SECRETARY.** The Deputy Secretary is responsible for:
 - a. serving as the senior Departmental continuity management policy official;
 - b. appointing a senior policy official to serve as the Departmental Continuity Coordinator. The Departmental Continuity Coordinator is the single POC for program management responsibilities and authorities, as required by NSPD 51/HSPD 20;
 - c. appointing a political official to assist in the responsibilities of the COG program as required by NSPD 51/HSPD 20 classified annex;
 - d. ensuring the Department has continuity plans for a national or localized continuity event and the ability for continued performance of all essential functions; and
 - e. approving the DOE COOP Plan.
2. **DIRECTOR, OFFICE OF PUBLIC AFFAIRS.** The Director is responsible for:
 - a. providing timely, factual public affairs information to national or international media, the public (through the media and via website), employees through federal and contractor employee communications protocols as well as through websites, e-mails, and public media; and
 - b. ensuring that reviews of documents, both unclassified and classified, are conducted as required by DOE O 475.2A, 32 CFR Part 2001, *Classified National Security Information*, and 10 CFR Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*.
3. **ADMINISTRATOR, NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA).** The Administrator, NNSA is responsible for:
 - a. ensuring the NNSA has continuity plans for a national or localized continuity event and the ability for continued performance of all essential functions to meet the requirements of this Order;
 - b. ensuring the availability of the NNSA Albuquerque Complex to serve as a devolution site;
 - c. serving as a budget and staffing advocate for the COOP program;
 - d. ensuring that all site services and support will be maintained in a state of readiness to support relocating personnel; and
 - e. reviewing and concurring on the DOE COOP Plan.

4. **ASSOCIATE ADMINISTRATOR, OFFICE OF EMERGENCY OPERATIONS.** The Associate Administrator, Office of Emergency Operations is responsible for:
 - a. maintaining all policy, requirements, and guidance for the COOP program;
 - b. appointing a Continuity Program Manager;
 - c. serving as a budget and staffing advocate for the COOP program;
 - d. ensuring that the COOP Program provides a comprehensive and integrated approach to continuity planning, preparedness, response, and reconstitution; and
 - e. reviewing and concurring on the DOE COOP Plan.
5. **CONTINUITY PROGRAM MANAGER.** The Continuity Program Manager is responsible for:
 - a. managing day-to-day operation of the DOE Continuity Program Office;
 - b. developing and maintaining the Department's Multi-Year Strategy and Program Management Plan;
 - c. coordinating all continuity intra- and inter-Departmental commitments and exercise and response activities;
 - d. developing and implementing a COG program, as delineated in NSPD 51/HSPD 20;
 - e. managing all Departmental COG planning, preparedness, training, and exercises;
 - f. developing and implementing the Departmental COOP Program:
 - (1) documenting the COOP program in the DOE COOP Plan;
 - (2) performing a documented review of the plan annually;
 - (3) submitting substantive changes to the DOE COOP Plan for the Deputy Secretary's approval, as deemed necessary;
 - g. activating the CEMT facility and serving as CEMT Director, as necessary;
 - h. developing and coordinating all DOE continuity policy, requirements, and guidance;
 - i. representing the Department to the continuity community and applicable working groups;
 - j. keeping all PSO, staff office, and field element COOP coordinators apprised of Department and interagency continuity activities;

- k. incorporating Office of Management and Budget guidance on continuity as provided when developing the Department's continuity budget;
- l. ensuring the DOE COOP Plan and procedures are coordinated with the HQ OEP and the Director, Office of Emergency Operations, who is responsible for emergency management policy;
- m. ensuring the Order of Succession to the Secretary of Energy is maintained;
- n. establishing and reviewing the Departmental essential functions in accordance with the requirements of FCD-2, based on PSO input, as applicable;
- o. ensuring AOFs are established as needed;
- p. ensuring PSO and staff office COOP plans are established and maintained for the execution of all essential functions;
- q. activating the CERG;
- r. establishing procedures for notifying HQ and field personnel when the DOE COOP Plan is activated;
- s. initiating internal notification to organizational leadership, COOP coordinators, and others as necessary to provide direction relating to changes in COOP COGCON levels or COOP plan activation;
- t. testing the DOE Continuity Program Office's automated notification system quarterly;
- u. developing, planning, and making COOP awareness training available for the Department's personnel;
- v. ensuring officials in the Order of Secretarial Succession participate and are trained to carry out their response duties during continuity exercises;
- w. validating Departmental readiness through regularly scheduled internal and interagency tests and exercises;
- x. providing up-to-date continuity POC information to the FOC;
- y. assist the Office of Management in maintaining General Services Administration (GSA) Standard Form 2050, *Reconstitution Questionnaire*;
- z. ensuring that each PSO, staff office, and field element COOP program is reviewed once every 3 years by the Continuity Program Office, or another entity technically qualified, knowledgeable in the areas to be assessed, and not directly involved with the development of that COOP program;

- aa. providing an annual status report to the Deputy Secretary on Departmental COOP readiness assurance; and
 - bb. establishing procedures to meet the requirements of continuity communications capabilities established in NCSD 3-10 at HQ and the NNSA Albuquerque Complex.
6. **DIRECTOR, OFFICE OF EMERGENCY OPERATIONS SUPPORT.** The Director, Office of Emergency Operations Support is responsible for:
- a. providing emergency operations support for COOP planning, preparedness, and implementation;
 - b. ensuring the HQ and alternate site communications equipment identified in NCSD 3-10 is tested quarterly;
 - c. establishing the Transportation and Emergency Control Center (TECC) in Albuquerque, NM, as backup to the DOE HQ EOC and Alternate Operating Center (AOC), and training TECC duty personnel to accomplish EOC tasks;
 - d. maintaining an AOC capable of assuming the duties of the primary HQ EOC Watch Office in a continuity event; and
 - e. tracking Secretarial successors in accordance with DOE O 100.1E, and notifying the Continuity Program Office of updates.
7. **PROGRAM SECRETARIAL OFFICERS AND STAFF OFFICE DIRECTORS.** All Program Secretarial Officers and Staff Office Directors are responsible for:
- a. appointing a primary and an alternate COOP coordinator to serve as the liaison between the Continuity Program Office and the PSO or staff office;
 - b. ensuring the coordinator provides updated personnel notification lists, on at least a quarterly basis, to the Continuity Program Office;
 - c. developing and implementing a COOP program, as required by chapters I, II, and III of this Order;
 - d. managing the development and implementation of a COOP plan;
 - e. annually reviewing, updating, and providing an electronic copy of the COOP plan to the Continuity Program Office, ensuring the plan addresses and identifies the requirements to support COGCON level requirements;
 - f. approving their COOP plan, including updates, as necessary;
 - g. ensuring the COOP plan addresses and identifies a devolution site;

- h. ensuring identification, evaluation, and assessment of potential risks to the MEFs that can include existing risk and hazard assessments, as applicable;
- i. approving risk assessments for MEFs, including updates, as applicable;
- j. ensuring the COOP plan addresses cyber attacks and work for others that may affect the Department in the performance of its mission;
- k. ensuring implementation of COOP management policy and requirements;
- l. maintaining programs and systems consistent with policy and requirements;
- m. establishing a TT&E program for all applicable personnel;
- n. ensuring budget submissions for facilities, activities, and transportation functions are adequate for the effective implementation and maintenance of COOP;
- o. identifying office essential functions, resources, and records for the Department's essential functions they are responsible for or required to support;
- p. performing a documented, annual review of essential functions;
- q. ensuring a system or program is established for issuing, testing, and maintaining accountability of GETS cards issued to all COOP responders, and providing the total number of cards issued to the Continuity Program Office;
- r. establishing an order for succession to key positions within the organization;
- s. establishing predetermined delegations of authority including devolution;
- t. identifying and establishing local and remote AOFs;
- u. notifying the Continuity Program Office of significant office changes that may impact COOP plan activation;
- v. ensuring that within areas of programmatic responsibility:
 - (1) a system or program is established and maintained for 24-hour initial receipt and further dissemination of continuity notifications;
 - (2) specialized technical representatives and subject matter experts are provided when the CEMT is convened;
 - (3) CERG members are officially identified for COGCON Levels 2 and 1;
 - (4) GETS cards are issued and tested quarterly by CERG members;
 - (5) a continuity TT&E program is established for their office, and providing COOP awareness training;

- (6) continuity training and response procedures are adequate in field element programs;
 - (7) a system or program is established for maintaining essential records that are accessible at COOP facilities;
 - (8) access is available to essential classified and unclassified records (including controlled unclassified records), critical information systems, services, and data must be tested at the AOF annually;
 - (9) COOP readiness assurance activities are performed;
 - (10) infrastructure and training is in place to enable essential employees (including contractors) to work from home or other AOFs during a continuity event;
- w. developing a plan with procedures and instructions addressing infectious disease/pandemic influenza threats in coordination with the Director, Office of Human Capital Management; and the Chief Health, Safety, and Security Officer;
 - x. reviewing the fields sites' COOP plan(s) annually and ensuring an electronic copy is provided to the Continuity Program Office; and
 - y. assisting the Office of Management in maintaining GSA Standard Form 2050, *Reconstitution Questionnaire*.
8. **CHIEF HEALTH, SAFETY AND SECURITY OFFICER (HSS)**. The Chief HSS is responsible for:
- a. conducting the security portion of the all-hazard risk assessment of DOE's primary and alternate HQ operating facilities, in coordination with the Office of Management;
 - b. updating the security portion of the all-hazard risk assessment bi-annually;
 - c. developing a plan with procedures and instructions addressing infectious disease/pandemic influenza threats in coordination with the Director, Office of Human Capital Management; and
 - d. developing and implementing a procedure to ensure SECON levels change in a pre-described manner, in conjunction with the COGCON levels.
9. **DIRECTOR, OFFICE OF HUMAN CAPITAL MANAGEMENT**. The Director, Office Human Capital Management is responsible for:
- a. developing a plan to provide the infrastructure and training to enable DOE federal employees to work from home or other AOFs during a continuity event in coordination with the Chief Information Officer;

- b. providing guidance consistent with Office of Personnel Management guidance regarding procedures and instructions for federal employees in the event that an infectious disease/pandemic influenza situation threatens one or more DOE facilities in coordination with the Chief HSS; and
 - c. providing a corporate system to account for DOE federal employees and contractors after a continuity event at DOE facilities.
10. **DIRECTOR, OFFICE OF MANAGEMENT**. The Director, Office of Management is responsible for:
- a. developing an internal plan for HQ operating facility management to ensure availability of infrastructure support (e.g., primary and backup power; water; heating, ventilating, and air conditioning; and decontamination);
 - b. ensuring consistency between the HQ OEP and the DOE COOP Plan;
 - c. developing a standard operating procedure (SOP) for use of aviation and other transportation assets in the event DOE leadership must be moved out of the National Capital Region;
 - d. preparing an all-hazard risk assessment of DOE's primary and alternate HQ operating facilities in coordination with HSS. This risk assessment must be updated biennially;
 - e. DOE HQ, AOFs, or any other facility must be reported to the GSA on form SF-336, *Continuity of Operations (COOP) Alternate Facility Identification/Certification*, developing an SOP for reconstitution that the various PSOs, staff offices, and field elements would use during this process; and
 - f. annually reviewing and maintaining GSA Standard Form 2050, *Reconstitution Questionnaire*.
11. **CHIEF INFORMATION OFFICER (CIO)**. The CIO is responsible for:
- a. developing a plan, in coordination with the Chief Human Capital Officer, to provide the infrastructure and training to enable DOE HQ federal employees to work from home or other AOFs during a continuity event;
 - b. developing a plan, in coordination with the Office of Electricity Delivery and Energy Reliability and Office of Intelligence and Counterintelligence, to provide the infrastructure and training to enable DOE to respond to a cyber event; and
 - c. ensuring a system is established for issuing and maintaining accountability of GETS cards, and providing a quarterly report on the testing of GETS cards to the Continuity Program Office.

12. DIRECTOR, OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY.

The Director, Office Of Electricity Delivery and Energy Reliability is responsible for:

- a. developing a plan, in coordination with the Office of Intelligence and Counterintelligence and the Office of the Chief Information Officer to provide the infrastructure to enable DOE to respond to a cyber event; and
- b. developing a plan, in coordination with Emergency Support Function-12, to provide the infrastructure to enable DOE to respond to a national energy infrastructure event.

13. DIRECTOR, OFFICE OF INTELLIGENCE AND COUNTERINTELLIGENCE.

The Director, Office of Intelligence and Counterintelligence is responsible for:

- a. participating in the quarterly testing of continuity communication systems to be used during a continuity event at primary and alternate facilities, in accordance with NCSD 3-10; and
- b. developing a plan, in coordination with the Office of Energy and Reliability and Office of the Chief Information Officer, to provide information to enable DOE to respond to a cyber event.

14. FIELD ELEMENT MANAGER. The field element manager is responsible for:

- a. developing, implementing, maintaining, and updating, as necessary, a COOP program consistent with Departmental directives. This COOP program may be established in conjunction with the contractors on-site or as a separate program;
- b. reviewing and approving the COOP or business continuity plans, including updates, as necessary;
- c. integrating the field element COOP program with the required emergency management program, as applicable;
- d. establishing the orders of succession to key positions to ensure support to the Secretary and execution of essential functions;
- e. ensuring identification, evaluation, and assessment of potential risks to the MEFs that can include existing risk and hazard assessments, as applicable;
- f. approving risk assessments for MEFs, including updates, as applicable;
- g. establishing predetermined delegations of authority for making policy determinations that can take effect when normal channels of direction are disrupted;
- h. appointing a primary and an alternate COOP coordinator to administer COOP and serve as the COOP POCs for the field element, and designating the COOP

- coordinator to provide notification information to their Lead Program Secretarial Office and the Continuity Program Office;
- i. identifying essential functions/activities, resources, and records for which his/her office is responsible or to which it provides support;
 - j. coordinating with PSOs, as applicable, in performing a documented, annual review of essential functions;
 - k. developing and implementing a field element COOP plan that documents their COOP program;
 - l. providing an electronic copy of the approved plan(s) to the appropriate program office and to the Continuity Program Office;
 - m. ensuring infectious disease/pandemic influenza planning is integrated with the development and maintenance of the field element COOP plans;
 - n. ensuring cyber event and work for others is integrated with the development and maintenance of the field element COOP plans;
 - o. implementing COOP management policy and requirements and maintaining programs and systems consistent with policy and requirements;
 - p. coordinating with the PSOs and staff offices to ensure resources for facilities and activities under their subordinates are available to implement this Order;
 - q. identifying and establishing local and remote AOFs;
 - r. notifying the Continuity Program Office or HQ Watch Office as soon as possible following the declaration of a continuity event;
 - s. maintaining effective communication systems and protocols with the Continuity Program Office, specifically, during continuity events that require relocation of essential personnel and involving/affecting facilities;
 - t. developing a procedure that defines the resources, actions, tasks, and data required to manage the technology recovery effort for the Department, including the capability to recover essential records;
 - u. identifying the CERG members and ensuring GETS cards are issued to and tested quarterly by CERG members;
 - v. ensuring field element personnel and contractors participate in COOP TT&E and COOP awareness training is provided to all personnel, and CERG members are provided office-specific CERG training;

- w. establishing a Personnel Accountability Program to document the location, contact information, and well-being of all personnel during a continuity event;
- x. implementing corrective actions from lessons learned based on findings from relocations (exercise or real world), evaluations, assessments, and appraisals. Corrective actions should be included in the field element CAP;
- y. coordinating with the Director, Office of Emergency Operations, and the PSOs or staff offices, on the implementation of a Mission Readiness Program, consisting of self-assessments, evaluations, improvements, and CRARs;
- z. ensuring appropriate and effective measures for COOP programs are incorporated in contractual arrangements;
- aa. ensuring a system or program is established for issuing, testing and maintaining GETS cards. Also, provide the total number of cards to the Continuity Program Office;
- bb. reviewing and approving CRARs covering facilities under his/her supervision; submitting reports to the PSO or staff office and the Director, Office of Emergency Operations;
- cc. ensuring COOP plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities within his/her area of responsibility and are integrated with the overall field element emergency preparedness program;
- dd. activating a CERG to oversee COOP operations at the appropriate site;
- ee. ensuring situational reports are provided to the Continuity Program Office;
- ff. ensuring communications with State, tribal, and local governments, the national media, and the public;
- gg. for field elements with contractors responsible for site or facility operations and activities, participating in the development of a comprehensive COOP program that integrates with other local emergency response programs;
- hh. notifying contracting officers of affected site or facility management contracts to incorporate the CRD of this Order into their contracts;
- ii. approving written requests from the contractors at sites with multiple facilities to place facility-specific requirements from the CRD of this Order on a site-contractor-level or organization (such as a single, site-wide public information organization rather than separate organizations at each facility). The field element federal manager may also decide to place facility-specific requirements on the field element organization. Placing facility-specific requirements on the field element or on a site-contractor-level organization does not require an exemption from this Order;

- jj. providing the sites, facilities, and activities under his/her contractor oversight responsibility with:
 - (1) direction to implement continuity management policy and requirements;
 - (2) direction in COOP planning and preparedness activities including the Departmental essential functions that the contractor supports;
 - (3) support and assistance during COOP events; and
 - (4) support and assistance in resolving issues and assessment of COOP programs.

CONTRACTOR REQUIREMENTS DOCUMENT
DOE O 150.1A, *Continuity Programs*

This Contractor Requirements Document (CRD) establishes the requirements for Department of Energy and National Nuclear Security Administration contractors regarding Continuity Programs during an emergency. Regardless of who performs the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor's compliance with the requirements.

1. GENERAL REQUIREMENTS.

- a. Contractors with established business continuity plans, which meet requirements of this CRD, need not develop additional Continuity of Operations (COOP) plans.
- b. The contractor must develop, implement, and update, as necessary, a COOP program designed to:
 - (1) assist the Department in continuing to accomplish essential functions;
 - (2) be integrated with the Emergency Management Program, as appropriate;
 - (3) utilize existing programs to meet the requirements of this CRD;
 - (4) incorporate existing guidance and policy for human resources management;
 - (5) identify work for others (deemed a Mission Essential Function (MEF) or a Primary Mission Essential Function by another organization) and their interdependencies.
- c. The COOP or business continuity plan must be approved by the responsible field element.
- d. Contractors and federal field elements are encouraged to establish one COOP plan for the site, eliminating the need to develop separate COOP plans.

2. SPECIFIC REQUIREMENTS. The contractor program, specifically within their COOP program, must:

- a. develop a COOP or business continuity plan that documents their program;
- b. provide an electronic copy of the approved plan(s) to the appropriate field element manager, including annual reviews and updates;
- c. identify essential functions/activities that support the essential functions;

- d. provide for planning to ensure the capability exists for performance of identified essential functions/activities;
- e. ensure identification, evaluation, and assessment of potential risks to the MEFs that can include existing risk and hazard assessments, as applicable;
- f. provide for the planning and implementation of plans that address infectious disease/pandemic influenza, cyber threats, and work for others;
- g. perform a documented, annual review of essential functions, to ensure any organizational changes are reflected in the current list of essential functions;
- h. identify a primary and an alternate COOP coordinator to administer the COOP program and serve as the points of contact;
- i. provide for internal procedures for executing essential functions that have been devolved from the Department's headquarters (HQ) or field elements;
- j. identify and train Continuity Emergency Response Group members for executing essential functions during a continuity event;
- k. establish a decision matrix or methodology for determining when to activate the COOP program and to what extent;
- l. establish orders of succession, with accompanying delegations of authority, in the event a disruption renders leadership unable, unavailable, or incapable of assuming their duties and responsibilities. Orders of succession must include at least three potential successors, if practical;
- m. provide for predetermined delegations of authority for policy determinations and decisions that can take effect when normal channels of direction are disrupted;
- n. analyze the need for an alternate operating facility (AOF), and if required, identify and provide AOFs with capabilities for performing essential functions;
- o. identify and provide for necessary continuity communications to perform essential functions;
- p. provide for notifications to HQ using the Continuity Status Reporting form for a site activation of a continuity event as well for HQ activation;
- q. identify essential records necessary to perform essential functions/activities and ensure those essential records are available at the AOF, as required by DOE O 243.1B, *Records Management Program*;
- r. define methods of and provide capabilities for notification of and communication with employees, continuity facilities, and support teams;

- s. establish a personnel accountability program for use during a continuity event;
- t. provide a training, testing, and exercise program to verify the office-/site-/contractor-specific essential functions/activities can be accomplished in a continuity event;
- u. conduct an annual continuity exercise, which may be combined with another exercise, which has continuity objectives;
- v. conduct an annual COOP awareness briefing for the contractor workforce who may have a role or responsibility during a continuity event;
- w. provide for a Mission Readiness Program, including a COOP corrective action program and a lessons learned program, and submit a Continuity Readiness Assurance Report to the appropriate field element and HQ program office. NOTE: The Mission Readiness Program may be part of another Readiness Assurance Program and the report may be submitted as part of the Emergency Readiness Assurance Report;
- x. conduct an annual self-assessment of COOP or business continuity plans; and
- y. ensure that reviews for classified and controlled unclassified information are conducted as required. If the site/facility/activity generates classified or controlled unclassified information (i.e., Unclassified Controlled Nuclear Information (UCNI) or Official Use Only (OUO) information), or is conducting operations that are classified or identified as UCNI or OUO, then all COOP plans, procedures, scenarios, and assessments must be reviewed for classified information, UCNI, or OUO information by a Derivative Classifier, UCNI Reviewing Official, or by the PSO (for reviews of OUO), as appropriate, for the type of information in the document. Documents not otherwise determined to be classified or UCNI must be identified as OUO and handled accordingly.

DEFINITIONS

1. **Activation**—the implementation of a continuity plan, whether in whole or in part.
2. **After Action Report (AAR)**—the final product of a test, training, or exercise. The AAR captures observations and recommendations, based upon the exercise objectives as associated with the capabilities and tasks.
3. **Agencies**—Federal executive branch departments, agencies, and independent organizations.
4. **Agency Head**—the highest-ranking official of the primary occupant agency or a successor or designee selected by the official.
5. **All-Hazard Risk Assessment**—an assessment that analyzes the risks and vulnerability of the essential function to both natural and manmade disasters (including climate change vulnerabilities) that could disrupt its operation. Assessments performed for other program requirements (safety and security) can be utilized.
6. **Alternate Operating Facility (AOF)**—a location other than the primary facility used to carry out Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), or Essential Supporting Activities (ESAs) in a continuity situation. AOFs could include, but is not limited to, emergency operations centers (EOCs).
7. **Business Continuity**—the activity performed by an organization to ensure that critical business functions will be available to customers, suppliers, regulators, and other entities that must have access to those functions.
8. **Business Impact Analysis (BIA)**—a method of identifying the effects of failing to perform a function or requirement. Additionally, it predicts the consequences of disruption of a function, initiates planning to develop strategies for minimizing risk, and gathers information needed to develop recovery strategies within continuity plans. The BIA is an essential component of the continuity planning process.
9. **Business Recovery Plan**—also known as a Business Continuity Plan, is how an organization prepares for future incidents that could jeopardize the organization's core mission and its long-term health. Incidents include local incidents such as building fires, regional incidents such as earthquakes, or national incidents such as pandemic illnesses.
10. **Catastrophic Emergency**—any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.
11. **Climate Change Vulnerability**—the degree to which an organization is susceptible to, and unable to cope with, adverse effects of climate change, including climate variability and extremes. Vulnerability is a function of the character, magnitude, and rate of climate change variation, to which an organization is exposed, as well as its sensitivity, and its adaptive capacity.

12. **Continuity Capability**—the ability of an organization to continue performance of essential functions utilizing Continuity of Operations (COOP) and Continuity of Government (COG) programs and integrated day-to-day operations with a primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.
13. **Continuity Communications**—alternate communications capabilities that perform essential functions in conjunction with other agencies until normal operations can be resumed.
14. **Continuity Coordinator**—Departmental representative at the Assistant Secretary or equivalent level appointed by the Deputy Secretary of Energy to represent the Department.
15. **Continuity Emergency Management Team (CEMT)**—component of the Continuity Emergency Response Group (CERG) responsible for coordination of information and actions in a continuity event; the primary information hub and source for situational updates to the Department’s decision makers.
16. **Continuity Emergency Response Group (CERG)**—individuals that provide leadership, coordinate emergency response activities, perform MEFs and ESAs, and provide logistics and other support. The CERG is divided into several teams.
17. **Continuity Emergency Response Group (CERG) Member**—a person assigned responsibility to report to an alternate site to perform PMEFs, MEFs, ESAs, or other continuity-related operations.
18. **Continuity Event**—an emergency caused by natural disasters, accidents, military or terrorist attacks, technological emergencies, and infectious disease/pandemic influenza threats, which impacts or has the potential to impact the performance of essential functions.
19. **Continuity of Government (COG)**—coordinated efforts within each branch of government (e.g., the federal government’s executive branch) to ensure that national essential functions continue to be performed during a catastrophic emergency.
20. **Continuity of Operations (COOP)**—an effort within individual organizations (e.g., federal executive branch departments and agencies (D/As)) to ensure that MEFs continue to be performed during continuity events, including localized acts of nature, accidents, and technological or attack-related emergencies.
21. **Continuity of Operations Plan**—a plan that details how an individual organization will ensure it can continue to perform its essential functions during a wide range of emergencies.
 - a. **DOE COOP Plan**—also known as the Department of Energy (DOE)/National Nuclear Security Administration (NNSA) Continuity of Operations Plan, is a

Department-wide plan that documents and describes the Department's COOP Program, provides implementation process and procedures for the Department in a continuity event, and provides guidance to the Department's field elements on the development and implementation of their own COOP programs.

- b. **Program Secretarial Office (PSO)/Staff Office/Field Element COOP Plan**—a type of COOP plan that each PSO, staff office, and field element develops to implement their COOP office program. COOP plans work in concert with the DOE COOP Plan. The COOP plan provides the planning and direction to the specific office about what needs to be done in a continuity event.
- 22. **Continuity Planning Element**—an element, as described by Federal Continuity Directive (FCD) 1, that is required to be planned for in the assurance of a viable continuity capability.
- 23. **Continuity Programs**—a general term that includes all aspects of Enduring Constitutional Government (ECG), COG, and COOP.
- 24. **Continuity Program Manager**—under the direction of an agency head, manages the day-to-day continuity programs and represents their department or agency in the continuity community and working groups as appropriate. Reports to the Departmental Continuity Coordinator.
- 25. **Continuity Readiness Assurance Report**—documents the readiness of the office's continuity program based on planning and preparedness activities and the results of the assessment, including evaluations and improvements. Identifies accomplishments of the COOP program for the previous year and goals for the following year. Can be included in the Emergency Readiness Assurance Plan (ERAP).
- 26. **Continuity Support Team (CST)**—a component of the CERG staffed by the PSO and staff office personnel who actually perform the essential functions.
- 27. **COOP Coordinator**—PSO, staff office, or field element representatives who represent and are the point of contact for their office or field element regarding COOP.
- 28. **Corrective Action Program (CAP)**—a system of identifying and tracking corrective actions for findings from continuity tests, training, exercises, assessments, and operations. The program will assist in the documentation, prioritization, and acquisition of resources to improve the COOP program.
- 29. **Delegation of Authority**—identification, by position, of the authorities for making policy determinations and decisions at HQ, regional, and field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

30. **Devolution**—devolution requires the transition of roles and responsibilities for performance of essential functions through pre-authorized delegations 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. Devolution is a continuity option instead of or in conjunction with relocation in order to ensure the continued performance of essential functions.
31. **Devolution Emergency Response Group (DERG)**—personnel stationed at the devolution site who are identified to conduct essential functions.
32. **Devolution Site**—“devolution sites” are locations used to carry out essential functions by devolving the essential functions to a geographically separated facility and staff (the DERG) following activation of the devolution plan.
33. **Drill**—coordinated, supervised exercise activity, normally used to test a single, specific operation or function.
34. **Emergency Operating Records**—records identified as essential to the continued functioning or reconstitution of an organization during and after a continuity event. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations (MEFs/PMEFs), and related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after a continuity event.
35. **Emergency Readiness Assurance Plan (ERAP)**—an annual report each field element submits summarizing its emergency management program. It identifies the goals and accomplishments of the past fiscal year and the goals for the current fiscal year.
36. **Enduring Constitutional Government (ECG)**—a cooperative effort among the executive, legislative, and judicial branches of the federal government, coordinated by the President, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which the nation is governed and the capability of all three branches of government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of the National Essential Functions (NEFs) during a catastrophic emergency.
37. **Essential Databases**—information systems needed to support essential functions during a continuity event.
38. **Essential Functions**—a subset of government functions and activities that are determined to be critical and must be continued in a continuity situation and in planning for reconstitution. Essential functions are categorized as PMEFs, MEFs, and ESAs.

39. **Essential Records**—Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization’s essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization’s activities. The term “vital records” refers to a specific sub-set of essential records relating to birth, death, and marriage documents.
40. **Essential Resources**—those resources that support the federal government's ability to provide essential services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base during a continuity event.
41. **Essential Supporting Activities (ESAs)**—Functions that the PSO and Field elements must continue in continuity activation, but that are not recognized as PMEFs or MEFs, such as human resources management, security, succession of leadership, and essential records. These functions remain essential and are denoted as essential supporting activities. In this Order, the term “essential functions” refers to those functions an organization must continue in continuity activation, whether the functions are MEFs, PMEFs, or ESAs.
42. **Exercises**—organized activities designed to test the ability to execute business continuity plans and evaluate individual or organization performance against approved standards or objectives. Exercises can be announced or unannounced and are performed for the purpose of training and conditioning team members and validating continuity plans. Exercise results identify plan gaps and limitations and are used to improve and revise the continuity plans. Types include table top exercises, simulations, operational exercises, mock disasters, desktop exercises, and full rehearsals.
43. **Facility**—several structures or component units with a common or related purpose may constitute a single facility. A complex of dissimilar buildings, processes, and equipment may also be considered as a single facility if they are physically adjacent, under common management, and contribute to a common programmatic mission.
44. **Field Element**—operations offices, service centers, site/field offices, area offices, regional offices of federally-staffed laboratories, and Power Marketing Administrations.
45. **Government Emergency Telecommunication Service (GETS)**—a telecommunication service that provides continuity responders a high probability of completion of their land line telephone calls during a continuity event.
46. **Government Functions**—the collective functions of the heads of executive D/As as defined by the Constitution, statute, regulation, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

47. **Infectious Disease**—an illness caused by an infectious agent or its toxins that occurs through direct or indirect transmission of the infectious agent or its products, from an infected individual (or animal) to a susceptible human host.
48. **Interoperability**—
 - a. The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together.
 - b. The condition achieved among communications-electronic systems or items of communications-electronic equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.
49. **Legal and Financial Records**—records essential to protect legal and financial rights of the government and individuals directly affected by its activities, also known as rights and interests records. Samples include accounts receivable records, social security records, payroll records, retirement records, and insurance records.
50. **Mission Critical Data**—information essential to support execution of an Agency or Department's essential functions.
51. **Mission Critical Systems**—equipment essential to support execution of an Agency or Department's essential functions.
52. **Mission Essential Functions (MEFs)**—the limited set of Department and Agency-level government functions that must be continued after a disruption of normal activities. MEFs provide essential services, exercise civil authority, maintain the safety of the general public and sustain the industrial/economic base during disruption of normal operations.
53. **Mission Readiness Program**—a program developed and implemented by each Departmental office to evaluate and assess the readiness of their program and plans, to ensure that essential functions can be performed during a continuity event.
54. **Multi-Year Strategy and Program Management Plan**—a Departmental plan that describes a process that ensures the maintenance and continued viability of the COOP program.
55. **National Essential Functions (NEFs)**—a set of government functions that are necessary to lead and sustain the country during a catastrophic emergency and must be supported through COOP and COG capabilities.
56. **Occupant Emergency Plan (OEP)**—procedures developed to protect life and property in a specific federally-occupied space under stipulated emergency conditions.

57. **Orders of Succession**—a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.
58. **Operational Emergencies**—DOE O 151.1 defines Operational Emergency as a program that provides the framework for response to serious events involving health and safety, the environment, safeguards, and security.
59. **Pandemic**—a worldwide epidemic when a new or novel strain of influenza disease emerges in which humans have little or no immunity, and develops the ability to infect and be passed between humans.
60. **Primary Operating Facility**—the site of normal, day-to-day operations; the location where an employee usually goes to work.
61. **Primary Mission Essential Functions (PMEFs)**—those government functions that must be performed to support or implement the performance of NEFs before, during, and in the aftermath of a continuity event.
62. **Reconstitution**—the process by which surviving and/or replacement Agency personnel resume normal operations from the original or replacement primary operating facility.
63. **Recovery**—the implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.
64. **Risk Analysis**—a systematic examination of the components and characteristics of risk.
65. **Risk Assessment**—a product or process which collects information and assigns values to risks for the purpose of forming priorities, developing or comparing courses of action, and informed decision making.
66. **Risk Management**—the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.
67. **Security Condition (SECON)**—DOE SECON levels reflect a multitude of conditions that may adversely impact Departmental and/or facility and site security. SECONs may include terrorist activity, continuity conditions, environmental (fire, chemical, radiological, etc.), and/or severe weather conditions.
68. **Site**—the area over which the Department has access control authority.
69. **Telework**—when an employee carries out work duties at his/her residence or other location rather than the official duty station.
70. **Test**—a pass/fail evaluation of infrastructure (e.g., computers, cabling, devices, hardware, and physical plant infrastructure (e.g., building systems, generators, utilities))

to demonstrate the anticipated operation of the components and system. Tests are often performed as part of normal operations and maintenance. Tests are often included within exercises (See Exercise).

71. **Training, Testing, and Exercises (TT&E)**—measures to ensure that a Department/ Agency’s COOP program is capable of supporting the continued execution of its essential functions throughout the duration of a COOP situation.
72. **Work For Others (WFO)**—the performance of work for non-Departmental entities by the Department and/or their respective contractor personnel or the use of Department facilities that is not directly funded by Departmental appropriations.

ACRONYM LIST

AOC	Alternate Operations Center
AOF	Alternate Operating Facility
CAP	Corrective Action Plan
CEMT	Continuity Emergency Management Team
CERG	Continuity Emergency Response Group
CFR	Code of Federal Regulations
COG	Continuity of Government
COGCON	Continuity of Government Condition
COOP	Continuity of Operations
CRAR	Continuity Readiness Assurance Report
CRD	Contract Requirements Document
CSR	Continuity Status Reporting
CST	Continuity Support Team
D/A	Departments and Agencies
DERG	Devolution Emergency Response Group
DOE	Department of Energy
DHS	Department of Homeland Security
ECG	Enduring Constitutional Government
EOC	Emergency Operations Center
ERAP	Emergency Readiness Assurance Plan
ESA	Essential Supporting Activities
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
GETS	Government Emergency Telecommunications Service
GSA	General Services Administration
HQ	Headquarters
HSPD	Homeland Security Presidential Directive
HSS	Health, Safety, and Security Office
IT	Information Technology
MEF	Mission Essential Functions

NCSD	National Communications System Directive
NEF	National Essential Functions
NNSA	National Nuclear Security Administration
NSPD	National Security Presidential Directive
OEP	Occupant Emergency Plan
OUO	Official Use Only
P.L.	Public Law
PMEF	Primary Mission Essential Functions
POC	Point of Contact
PSO	Program Secretarial Officer
SECON	Security Condition
SF	Standard Form
SOP	Standard Operating Procedure
TECC	Transportation Emergency Control Center
TT&E	Testing, Training, and Exercises
UCNI	Unclassified Controlled Nuclear Information
U.S.C.	United States Code
WFO	Work for Others