

SUBJECT: CONTINUITY PROGRAMS

1. PURPOSE. The purpose of this Order is to:
 - a. Establish the requirements for a continuity program for the Department of Energy (DOE), including Headquarters Offices, Field Elements, and contractors (as defined later in this Order), all herein referred to as the “Department.”
 - (1) Headquarters Office is used to describe the collective DOE and National Nuclear Security Administration (NNSA) Headquarters Offices (e.g., Secretarial, Program, Staff, Support, Mission, and Mission Support).
 - (2) Field Element is used to describe the collective DOE/NNSA operations offices, service centers, site offices, field offices, area offices, production offices, project management offices, government-owned government-operated facilities, and regional offices of federally-staffed laboratories that report directly to a DOE Headquarters office.
 - (3) The phrase “all Departmental Elements” is used, for the purpose of this Order, to generically describe all Headquarters Offices and Field Elements.
 - (4) The definition and requirements for Management and Operating (M&O) and other than M&O contractors are addressed in the Contractor Requirements Document (CRD), Attachment 1.
 - b. Meet the mandatory Continuity of Operations (COOP) planning requirements prescribed by the following documents currently in circulation:
 - (1) Presidential Policy Directive (PPD) 40, *National Continuity Policy*, dated July 15, 2016.
 - (2) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
 - (3) Executive Order 13618, *Assignment of National Security and Emergency Preparedness Communications Functions*, dated July 6, 2012.
 - (4) Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*, dated January 17, 2017.
 - (5) FCD-2, *Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process*, dated June 13, 2017.

- (6) Office of Science and Technology Policy/Office of Management and Budget Directive 16-1, (OSTP/OMB D-16-1), *Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities*, dated December 15, 2016.
 - (7) Federal Mission Resilience Strategy (FMRS), December 7, 2020.
 - (8) Executive Order 13961, Governance and Integration of Federal Mission Resilience, December 7, 2020.
 - c. Increase operational resilience across the enterprise through application of the National Security Council's (NSC's) Assess, Distribute, Sustain planning paradigm documented in the FMRS.
 - d. Establish Departmental program and planning requirements for continuity readiness and preparedness activities; plan activation; continuity operations, including devolution; and reconstitution.
 - e. Assign and describe roles and responsibilities, within the continuity program, for specific positions within the Department.
 - f. Ensure the Department can respond promptly, efficiently, and effectively to a continuity event involving the Department's facilities, activities, or operations.
 - g. Ensure the Department can maintain control and direction at all levels of the organization and perform its Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), and Essential Supporting Activities (ESAs) during a continuity event.
 - h. Shape the Department's continuity planning and overall continuity preparedness by documenting enterprise-wide requirements, which provide perspective on interdependencies across continuity programs, in order to ensure Department-wide participation and mission success.
2. CANCELS/SUPERSEDES. DOE O 150.1A, *Continuity Programs*, dated March 31, 2014. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual or regulatory obligation to comply with the directive. 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 Headquarters Offices and Field Elements; including Headquarters Offices/Field Elements created after issuance of this Order.

- (2) The Administrator of the NNSA must assure that NNSA employees comply with their responsibilities under this directive. Nothing in this directive will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.

- b. DOE Contractors. Except for the equivalencies/exemptions in paragraph 3.c., the CRD, Attachment 1, sets forth requirements of this Order that will apply to contracts that include the CRD.

The CRD must be included in contracts that perform or support DOE/NNSA MEFs, ESAs, or Strategic Partnership Projects determined by the cognizant DOE/NNSA Program Office to be a DOE/NNSA essential function and consistent with the biennial PMEF/MEF Revalidation Package and the Enterprise-wide Business Process Analysis (BPA).

- c. Equivalencies/Exemptions for DOE O 150.1B. Equivalences to and exemptions from the requirements of this Order are processed in accordance with DOE O 251.1, *Departmental Directives Program*, current version.

- (1) Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive 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.

4. REQUIREMENTS. Federal Employee requirements specific to Headquarters Offices are included in Appendix A. Federal Employee requirements specific to Field Elements are contained in Appendix B. Additional requirements unique to the Office of Emergency Operations are contained in Appendix C. Overarching continuity program requirements applying to all Federal Employees are outlined below.

- a. Establishment of a Continuity Program. It is DOE policy to maintain a comprehensive and effective continuity capability consisting of COOP and Continuity of Government (COG) programs, therefore:

- (1) DOE has established the Office of Continuity Programs, an operational entity responsible for developing; documenting; implementing; and executing, on a day-to-day basis, an overarching DOE continuity program.

The Office of Continuity Programs supports all levels of the Department prior to, during, and following a continuity event.

- (2) All Departmental Elements, regardless of location and function, must maintain documented continuity capabilities that specifically address the risks and capabilities of each respective Departmental Element in performing or supporting DOE/NNSA PMEFs, MEFs or ESAs.
- (3) This Order does not mandate the creation of new or redundant programs when requirements herein can be satisfied through, or integrated with, existing DOE programs.
- (4) This Order shall be synchronized with applicable requirements found in DOE O 151.1D, *Comprehensive Emergency Management System* (or the most current version of the Order), to produce a framework for control, direction, and interoperability of all Departmental activities imperative to the continuous performance of DOE/NNSA MEFs.
- (5) The Department shall integrate continuity requirements and capabilities into daily operations to ensure:
 - (a) Readiness, resilience, and alignment of all continuity program elements.
 - (b) Incorporation of risk management principles, as outlined in FCD-2, including identification and assessment of potential threats and hazards and their associated impacts, determination of acceptable risk, and identification of required mitigation resources.
 - (c) Identification of collective or interdependent Federal Government; State, local, territorial, and tribal governments; nongovernmental organizations; and private sector owners and operators of critical infrastructure in order to ensure comprehensive and integrated continuity programs that enhance the integrity of the Nation's national security posture while enabling a more rapid and effective response to and recovery from a catastrophic emergency.
 - (d) Support for essential functions of other Federal Agencies through Strategic Partnership Projects is identified and addressed at the cognizant Field Element, as applicable. DOE O 481.1, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version, provides additional information regarding Strategic Partnership Projects.

- b. Program Objectives. The continuity program objectives are:
- (1) Sustain operations and essential functions critical to the performance of DOE/NNSA PMEFs, MEFs, and ESAs, which are henceforth referred to as DOE/NNSA essential functions. DOE/NNSA essential functions are those PMEFs, MEFs, or ESAs identified in the biennial PME/MEF Revalidation Package or the Enterprise-wide BPA.
 - (2) Identify and dedicate the resources required to sustain DOE/NNSA essential functions.
 - (3) Reduce loss of life and mitigate threats to property.
 - (4) Incorporate risk management principles, outlined in FCD-2 for Departmental Elements performing or supporting DOE/NNSA PMEFs, MEFs, and ESAs, including identification and assessment of potential threats and hazards, and their associated impacts; acceptable risk determination; and identification of required mitigation resources.
 - (5) Establish orders of succession and delegations of authority to ensure sequential assumption of legal authorities and responsibilities by holders of other specified positions within the organization. Ensure orders of succession and delegations of authority are reviewed and approved by the DOE or NNSA Office of the General Counsel, as applicable.
 - (6) Reduce or mitigate operational disruptions to essential functions.
 - (7) Identify, maintain, and operate alternate locations from which organizations can perform essential functions.
 - (8) Protect personnel, alternate locations, equipment, essential records, and other assets critical to the performance of any DOE/NNSA essential functions.
 - (9) Provide for recovery during reconstitution.
5. RESPONSIBILITIES. Federal Employee responsibilities for Headquarters Offices are contained in Appendix A, and Federal Employee responsibilities for Field Elements are contained in Appendix B. Additional responsibilities unique to the Office of Emergency Operations are contained in Appendix C.
6. INVOKED STANDARDS. This Order does not invoke any DOE technical standards or industry standards as required methods. Any technical standard or industry standard that is mentioned in or referenced by this Order is not invoked by this Order. Note: DOE O 251.1D, Appendix J provides a definition for “invoked technical standard.”

7. REFERENCES.

- a. Title XXXII, P.L. 106-65, *The National Nuclear Security Administration Act*, as amended, dated June 12, 2019.
- b. P.L. 80-253, *National Security Act*, dated July 26, 1947, as amended through P.L. 115-232, enacted August 13, 2018.
- c. 42 United States Code 7131 et seq., Public Law 95-91, *Department of Energy Organization Act*, dated August 4, 1977.
- d. Title 5, Code of Federal Regulations Part 550, Subpart A, *Premium Pay*, dated January 1, 2019.
- e. Title 5, Code of Federal Regulations Part 550, Subpart D, *Payments During Evacuation*, dated January 1, 2019.
- f. Title 32 Code of Federal Regulations Part 2001, *Classified National Security Information*, dated July 1, 2010.
- g. Title 36 Code of Federal Regulations Part 1236, *Electronic Records Management*, dated May 10, 2019.
- h. Title 41 Code of Federal Regulations 101-20.103-4, *Occupant Emergency Program*, dated July 1, 1999.
- i. Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979.
- j. Executive Order 12344, *Naval Nuclear Propulsion Program*, dated February 1, 1982.
- k. Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
- l. Executive Order 13526, *Classified National Security Information*, dated December 29, 2009.
- m. Executive Order 13618, *Assignment of National Security and Emergency Preparedness Communications Functions*, dated July 6, 2012.
- n. Executive Order 13961, *Governance and Integration of Federal Mission Resilience*, December 7, 2020.
- o. Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- p. PPD-7, *National Terrorism Advisory System*, dated January 26, 2011.

- q. PPD-8, *National Preparedness*, dated March 30, 2011.
- r. PPD-21, *Critical Infrastructure Security and Resilience*, dated February 12, 2013.
- s. PPD-40, *National Continuity Policy*, dated July 15, 2016.
- t. National Security Directive 42, *National Policy for the Security of National Security Telecommunications and Information Systems*, dated July 5, 1990.
- u. *National Response Framework*, 4th Edition, dated October 28, 2019.
- v. *Federal Mission Resilience Strategy*, December 7, 2020.
- w. OSTP/OMB D-16-1, *Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities*, dated December 15, 2016.
- x. OMB Memorandum M-05-16, *Regulation on Maintaining Telecommunications Services during a Crisis or Emergency in Federally Owned Buildings*, dated June 30, 2005.
- y. FCD-1, *Federal Executive Branch National Continuity Program and Requirements*, dated January 17, 2017.
- z. FCD-2, *Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process*, dated June 13, 2017.
- aa. DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version.
- bb. DOE O 151.1, *Comprehensive Emergency Management System*, current version.
- cc. DOE O 205.1, *Department of Energy Cybersecurity Program*, current version.
- dd. DOE O 243.1, *Records Management Program*, current version.
- ee. DOE O 314.1, *DOE-Flex: DOE's Telework Program*, current version.
- ff. DOE O 322.1, *Pay and Leave Administration and Hours of Duty*, current version.
- gg. DOE O 414.1, *Quality Assurance*, current version.
- hh. DOE O 470.4, *Safeguards and Security Program*, current version.
- ii. DOE P 470.1, *Safeguards and Security Program*, current version.
- jj. DOE O 471.1, *Identification and Protection of Unclassified Controlled Nuclear Information*, current version.

- kk. DOE O 471.3, *Identifying and Protecting Official Use Only Information*, current version.
 - ll. DOE O 471.6, *Information Security*, current version.
 - mm. DOE O 475.1, *Counterintelligence Program*, current version.
 - nn. DOE O 475.2, *Identifying Classified Information*, current version.
 - oo. DOE O 481.1, *Strategic Partnership Projects [Formerly Known as Work for Others (Non-Department of Energy Funded Work)]*, current version.
 - pp. DOE O 541.1, *Appointment of Contracting Officers and Contracting Officer Representatives*, current version.
 - qq. DOE Manual (M) 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, current version.
 - rr. NNSA Supplemental Directive (SD) 150.1, *Lines of Succession*, current version.
 - ss. NNSA SD 205.1, *Baseline Cybersecurity Program*, current version.
8. DEFINITIONS. See Attachment 2.
9. IMPLEMENTATION.
- a. Full compliance with this Order must be accomplished within 1 year of issuance.
 - b. If compliance cannot be accomplished within 1 year of issuance, an implementation schedule must be developed and submitted to the Associate Administrator and Deputy Under Secretary for Emergency Operations, through the appropriate Program, Program Secretarial Office, or Staff Office Director.
10. CONTACT. For assistance regarding this directive, contact the Office of Continuity Programs at 301-903-3766.

BY ORDER OF THE SECRETARY OF ENERGY:



DAVID M. TURK
Deputy Secretary

APPENDIX A: REQUIREMENTS FOR HEADQUARTERS OFFICES

This Appendix documents Department of Energy (DOE) Order (O) 150.1B requirements placed upon all Headquarters Offices in the areas of Continuity Program Management, Continuity of Operations (COOP) Plans, and Communications and Information Systems. This Appendix also provides a list of the Roles and Responsibilities of leadership of Headquarters Offices and select continuity personnel, as well as instructions regarding classification and controlled unclassified information review.

In addition to the Headquarters Office requirements provided in this Appendix, Appendix C contains additional requirements placed on the Office of Emergency Operations. Within the Office of Emergency Operations, the Office of Continuity Programs plays a role in enterprise-wide continuity planning for the DOE and the National Nuclear Security Administration (NNSA) that go beyond the requirements placed on all Headquarters Offices.

1. CONTINUITY PROGRAM REQUIREMENTS FOR HEADQUARTERS OFFICES.

- a. Program Management. At the Headquarters Office level, the continuity program must meet the following requirements or reference overarching plans that integrate crosscutting continuity/devolution capabilities and responsibilities:
 - (1) Include all the Continuity Capability Elements and meet the requirements as listed in Federal Continuity Directive 1 (FCD-1), Federal Executive Branch National Continuity Program and Requirements; and FCD-2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process.
 - (2) Provide personnel accountability reports (including initial reports and updates, if applicable) to the DOE Office of the Chief Human Capital Officer (HC) upon request. In addition, NNSA Elements will also provide the information to NNSA's Management and Budget (NA-MB) office. Additional personnel accountability requirements for Headquarters Offices include:
 - (a) Provide DOE HC and the Office of Continuity Programs with the name and contact information for the Accountability Point-of-Contact (APOC) for the Headquarters Office.
 - (b) Identify, document, and execute a process to account for all personnel supporting DOE in the following conditions:
 - 1 Headquarters Offices will account for continuity personnel and alternates supporting DOE within 12 hours of activation during real-world events.

- (7) Coordinate with the Office of Continuity Programs to address how the Headquarters Office will identify and transfer organizational command and control, as well as responsibility for performing essential functions, if applicable, to personnel at a geographically dispersed location unaffected by the incident. Additional devolution requirements include but may not be limited to:
 - (a) Develop a Memorandum of Agreement or Memorandum of Understanding (MOA/MOU) between the Headquarters Office and the devolution partner to ensure common understanding of what responsibilities are devolving.
 - (b) Share BPAs and any other applicable information regarding essential functions to assist the devolution partner in understanding how to perform any functions transferred.
 - (c) Share information related to contracts, personnel, facilities, essential records, and other material necessary for the devolution partner to effectively execute its role in performing command and control responsibilities.
 - (d) Assist in training Devolution Emergency Response Group (DERG) personnel to perform any functions transferred.
- (8) Certify annually, by date of signature, the Headquarters Office maintains a continuity plan. Subordinate organizations may reference overarching plans that integrate crosscutting continuity/devolution capabilities and responsibilities.
- (9) Certify, by date of signature, the Headquarters Office participates in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location.
- (10) Identify continuity requirements that will ensure appropriate and necessary resources are available to meet established regulatory requirements. Resources should be sought to address the following goals:
 - (a) Establish and maintain a viable continuity program.
 - (b) Acquire and maintain resources—equipment, supplies, and personnel—necessary to sustain operations and personnel at alternate locations for a minimum of 30 days or until normal operations are resumed.
 - (c) Establish techniques and procedures to streamline standard acquisition processes and support emergency acquisitions of

- equipment, supplies, services, and personnel to support continuity operations.
- (d) Integrate continuity funding and acquisition requirements, as applicable, into existing and future contract awards and MOAs/MOUs, as applicable, to ensure the continuation of MEFs.
 - (e) Integrate continuity funding and acquisition requirements, as applicable, into annual tasks and objectives, performance metrics, and mandatory reporting.
- (11) Implement operations security (OPSEC) and risk management procedures, including geographically dispersed staff; resilient and redundant communications; force protection; identity management; and personnel accountability to protect continuity programs, facilities, networks, information, personnel, and plans from a broad spectrum of threats.
 - (12) Maintain records needed for continuity operations as part of an essential records program in accordance with DOE O 243.1, *Records Management Program*, current version.
 - (13) Establish and implement a test, training, and exercise (TT&E) program, with support from the Office of Continuity Programs, to ensure Emergency Relocation Group (ERG) and DERG personnel are prepared to perform essential functions at alternate sites, as applicable.
 - (14) Provide annual training on roles and responsibilities for personnel, including government and contractor personnel, assigned to activate, support, and sustain operations when Headquarters Offices devolve. The training must include:
 - (a) Headquarters Office devolution plans, processes, and procedures.
 - (b) Communications and information technology (IT) systems that will be used during devolution operations.
 - (c) Identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support devolved essential functions during devolution operations.
 - (d) How the Headquarters Office identifies and performs/supports its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency that activates the devolution plan.

- (15) Conduct, at minimum, a biennial exercise for DERG members to demonstrate their familiarity with devolution procedures. This exercise may be part of an annual continuity exercise (such as Eagle Horizon), or it may be conducted separately. The exercise must:
 - (a) Familiarize DERG personnel with devolution plans, processes, and procedures.
 - (b) Familiarize DERG personnel with reconstitution plans and procedures for returning to the original primary operating facility or replacement primary operating facility.
 - (16) Develop a process to submit a Continuity Status Reporting Form (CSR) to the Office of Continuity Programs during a change of continuity condition, including Federal Emergency Management Agency (FEMA)-directed Continuity of Government Readiness Conditions (COGCON) changes, a continuity incident, and/or plan activation.
 - (17) Address Continuous Improvement Program requirements found in paragraph 1.b. below.
- b. Continuous Improvement Program. Each Headquarters Office will develop a methodology/program for continuous improvement of their continuity program. The methodology/program may be part of another readiness assurance/continuous improvement program. The continuous improvement consists of the following components:
- (1) Program Evaluations. All Headquarters Offices are responsible for monitoring and/or ensuring completion of the following items within its own Headquarters Office:
 - (a) Identify findings (e.g., strengths, improvements, deficiencies) in continuity programs; testing, training, and exercises; plans; and procedures.
 - (b) Evaluations are to be based on the requirements of Presidential Policy Directive (PPD) 40, *National Continuity Policy*, Office of Science and Technology Policy / Office of Management and Budget Directive 16-1 (OSTP/OMB D-16-1), *Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities*; FCD-1; FCD-2; Federal Mission Resilience Strategy (FMRS); Executive Order 13961, *Governance and Integration of Federal Mission Resilience*; and this Order.
 - (c) Evaluations of the COOP program may be combined with other evaluation programs.

- (d) Continuity Readiness Assurance Report (CRAR). The report must identify what the goals were for the fiscal year that ended, the degree to which these goals were accomplished, and goals for the next fiscal year.
 - 1 All Headquarters Offices use the CRAR to document that the office participated in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate site, and the date of the exercise.
 - 2 All Headquarters Offices may submit CRARs as appendices to Emergency Readiness Assurance Plans, if applicable.
 - 3 CRARs must be provided to the Office of Continuity Programs by November 30 of each year.
- c. Improvements. All Headquarters Offices must ensure appropriate and timely improvements are made to their specific program in response to needs identified through coordinated COOP planning, resource allocation, program assistance activities, evaluations, training, drills, exercises, and actual COOP activations.
- d. Corrective Actions. A Corrective Action Program (CAP) must be developed and implemented to assist in documenting, prioritizing, and resourcing continuity issues identified during testing, training, exercises, evaluations, and actual COOP activations.
 - (1) Corrective Action Plans must be developed within 45 calendar days of receipt of a final report from an exercise, real-world event, or evaluation.
 - (2) Corrective actions must be completed as soon as feasible.
 - (3) Corrective actions addressing revision of procedures or training of personnel should be completed before the next self-evaluation of the program.

2. REQUIREMENTS FOR HEADQUARTERS OFFICE COOP PLANS.

- a. Background. In accordance with PPD-40, *National Continuity Policy*, the Department shall develop and implement comprehensive COOP plans, including devolution and reconstitution, in order to increase survivability and ensure continuous performance and delivery of PMEFs, MEFs, and Essential Supporting Activities (ESAs) that support the National Essential Functions (NEFs) under all circumstances. This Appendix to the Order addresses requirements to be addressed in COOP plans for all Headquarters Offices.

- (1) Essential functions are critical activities that directly perform or support a DOE/NNSA PMEF, MEF, or ESA and must be sustained during all phases of a continuity event.
 - (2) PMEFs are those MEFs that must be continuously performed to support or implement the uninterrupted performance of NEFs.
 - (3) MEFs are the essential functions directly related to accomplishing the organization's mission as set forth in its statutory or executive charter.
 - (4) ESAs are functions that support performance of MEFs or PMEFs but are not MEFs or PMEFs. ESAs are important facilitating activities performed by most governmental organizations (e.g., providing a secure workplace, ensuring computer systems are operating); however, the sole performance of ESAs does not directly accomplish an organization's mission.
- b. Federal Continuity Documents. All Department COOP plans will comply with PPD-40, FCD-1, FCD-2, FMRS, Executive Order 13961, and this Order. The exception is when a COOP plan is included as a part of a higher-level COOP plan which meets these requirements, as described in paragraph 2.c.(2) below.

All COOP plans will address all Continuity Capability Elements of a viable continuity program. Each Headquarters Office COOP plan should provide the level of detail appropriate to the operating realities of the Headquarters Office – meaning, if the Headquarters Office does not perform essential functions or has no process to devolve, then those respective sections of the COOP plan should document they have no essential functions nor devolution capabilities. The Continuity Capability Elements to be documented in each COOP plan are listed below:

- (1) Program management, plans, and procedures.
- (2) Essential functions.
- (3) Orders of succession.
- (4) Delegations of authority.
- (5) Communications and information systems.
- (6) Essential records management.
- (7) Alternate locations.
- (8) Human resources.
- (9) Devolution.

- (10) Reconstitution.
 - (11) TT&E.
- c. Program Management, Plans, and Procedures. In addition to the requirements of FCD-1, all Headquarters Offices are to address the following requirements:
- (1) All Headquarters Offices, regardless of location and function, must maintain a continuity capability documented in a COOP plan, or an Annex or Appendix to a parent organization COOP plan, addressing the requirements found in the documents listed in paragraph 2.b. in this Appendix (Federal Continuity Documents).
 - (2) All Headquarters Offices will ensure their COOP plans are in alignment with the DOE COOP planning structure. This structure builds unity of effort across the DOE COOP planning enterprise by directing the alignment of COOP plans from the DOE Continuity Plan through Field Element COOP plans.
 - (a) The DOE Continuity Plan is supported by the collective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, Under Secretary for Nuclear Security, and their respective Headquarters Office and Field Element COOP plans.
 - (b) Headquarters Office COOP plans will support and align with the respective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, or Under Secretary for Nuclear Security and any subordinate Field Element COOP plans.
 - (c) The Field Element COOP plans will align with and support the respective Deputy- or Under Secretary-level COOP plan, Headquarters Office COOP plan, or other higher-level Field Element COOP plan.
 - (3) All COOP plans must be signed by the Organization Head, such as the Secretary, Deputy Secretary, Under Secretary, Director, Administrator, Field Element Manager, or designee.
 - (4) All COOP plans must document the requirement for an annual review of the COOP plan and associated system-specific plans, such as Disaster Recovery Plans (DRPs) and Information System Contingency Plans (ISCPs), with updates to the plans being required, as applicable. The date of review and names of personnel conducting the review must be recorded. Annual review will include contacting the Office of Continuity Programs to:

- (a) Verify current DOE/NNSA PMEFs and the MEFs mapped to support each PMEF.
 - (b) Verify current DOE/NNSA MEFs and the Headquarters Offices and/or Field Elements mapped to support each MEF.
- (5) All COOP plans must identify support for Essential Functions of other Federal Agencies through Strategic Partnership Projects, as applicable. DOE O 481.1, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version, provides additional information regarding Strategic Partnership Projects.
 - (6) All COOP plans must define a methodology to ensure continuity operations can be sustained for a minimum of 30 days following a catastrophic emergency or until normal operations are resumed. This includes planning for challenges posed by continuity events that extend past 30 days.
 - (7) All COOP plans must establish a process to complete and submit CSRs to the Office of Continuity Programs during any change in continuity status.
 - (8) All COOP plans must list an ERG, consisting of leadership, staff, and functional support elements capable of relocating to alternate locations, as applicable, to support the performance of essential functions.
 - (9) All COOP plans must identify the process to account for all personnel during real-world activations, drills, tests, and exercises.
 - (10) All COOP plans must establish a process for executing changes to COGCON, Security Condition (SECON), or other readiness and alerting formats.
 - (11) All COOP plans must establish a decision-support process, including a decision matrix and event triggers, informing timely and accurate COOP plan activation, with and without warning, during duty and non-duty hours.
 - (12) All COOP plans must detail procedures for the transition of essential functions to continuity or devolution personnel at alternate location(s) and devolution site(s).
 - (13) All COOP plans must define processes for attaining full operational capability at alternate location(s) as soon as possible, but no later than 12 hours following COOP plan activation, and reporting operational capability. Operational capability reporting must reflect the status of PMEFs and/or MEFs supported by the Headquarters Office and/or its subordinate offices.

- d. Essential Functions. In addition to the requirements of FCD-1, the content of each COOP plan must:
 - (1) Define which of the Department’s PMEFs and/or MEFs the Headquarters Office supports.
 - (2) Identify, prioritize, and document ESAs. These functions remain essential to the Department’s overall continued performance of the PMEFs and MEFs.
- e. Orders of Succession. In addition to the requirements of FCD-1, all Headquarters Offices are to address the following requirements:
 - (1) DOE Headquarters Offices, and NNSA Headquarters Offices having a successor to the Secretary, are to list orders of succession consistent with DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version. Orders of succession should annotate personnel in Secretarial Succession, including provisions for devolution or successors located at Field Elements outside the National Capital Region (NCR).
 - (2) NNSA Headquarters Offices are to list orders of succession consistent with NNSA Supplemental Directive (SD) 150.1A, *Lines of Succession* (or the most current version of the Directive). Orders of succession should annotate personnel in line of succession to the Administrator and/or program offices within NNSA.
- f. Delegations of Authority. There are no exceptions/additions to the requirements provided in FCD-1.
- g. Communications and Information Systems. There are no exceptions/additions to the requirements provided in FCD-1.
- h. Essential Records Management. In addition to the requirements of FCD-1, the content of each COOP plan must:
 - (1) Identify, document, position, and protect essential records in accordance with DOE O 243.1, *Records Management Program*, current version, and in compliance with FCD-1.
 - (2) Ensure all records necessary to support the PMEFs, MEFs, and ESAs are included in the essential records.
 - (3) Ensure essential records are available and accessible to ERG personnel and DERG personnel, as applicable, at their respective alternate location.
- i. Alternate Locations. There are no exceptions/additions to the requirements provided in FCD-1.

- j. Human Resources. In addition to the requirements of FCD-1, the content of each COOP Plan must:
- (1) Reference procedures for verifying need to know and providing ERG and DERG personnel with the appropriate security clearances, as applicable, and with the training and resources needed to perform their prescribed continuity roles and responsibilities.
 - (2) Reflect human resources planning for COOP that encompasses the Federal and Departmental policies regarding employees in an emergency, as applicable, and follows requirements of 5 Code of Federal Regulations (CFR) Part 550, Subparts A and D, or the most current version of the Regulation, and DOE O 322.1, *Pay and Leave Administration and Hours of Duty*, current version.
 - (3) Clearly define the expectations, roles, and responsibilities of continuity personnel, including the roles and responsibilities in paragraph 5 of this Appendix.
 - (4) Document the process to ensure all personnel, continuity and non-continuity, are loaded into the DOE personnel accountability, alert, and notification system and the contact information is current.
- k. Devolution. In addition to the requirements of FCD-1, the content of each COOP plan must (if applicable):
- (1) Identify a DERG, as appropriate, consisting of personnel necessary to support the performance of organizational command and control, accountability, and essential functions, as applicable, at a devolution site.
 - (2) Ensure the devolution site is aware of all responsibilities when Headquarters Offices activate devolution plans. This information should be included in an MOA/MOU between the devolving organization and the devolution location. Additional information regarding devolution requirements is provided in paragraph 1.a.(7), (a) through (d) of this Appendix.
 - (3) Document how the Headquarters Office will support the devolution processes and procedures as identified in the DOE Continuity Plan, Annex J, *Department of Energy Devolution Plan*.
 - (4) NNSA Offices should also document how the NNSA Offices will support the devolution processes and procedures as identified in the NNSA Continuity of Operations Plan, Annex J, *Devolution*.
- l. Reconstitution. There are no exceptions/additions to the requirements provided in FCD-1.

- m. Test, Training, and Exercises. There are no exceptions/additions to the requirements provided in FCD-1. TT&E requirements are addressed in paragraph 1 of this Appendix (Continuity Program Requirements for Headquarters Offices).

3. COMMUNICATIONS AND INFORMATION SYSTEMS REQUIREMENTS FOR HEADQUARTERS OFFICES.

- a. All Headquarters Offices performing DOE/NNSA MEFs have responsibility for ensuring the availability, diversity, and redundancy of critical communications and information systems needed to sustain MEFs. Headquarters Offices should coordinate with the DOE Office of the Chief Information Officer (IM), NNSA Office of Information Management and Chief Information Officer (NA-IM), and/or the Office of Continuity Programs if they need assistance in addressing communications and information systems requirements. In order to address communications and information systems requirements, all Headquarters Offices must ensure:

- (1) Availability of communications and information systems with sufficient resilience and contingencies necessary to perform essential functions, immediately or no later than 12 hours after activation, at primary and alternate locations.
 - (a) Systems must support connectivity among key leadership, internal elements, other organizations, and the public under all conditions.
 - (a) Communications capabilities must be interoperable and of sufficient quantity and mode/media to enable redundant and survivable connectivity with essential function partners.
- (2) Compliance of the Department's communications and information systems with FCD-1.
- (3) Compliance of the Department's communications and information systems with DOE O 205.1, *Department of Energy Cybersecurity Program*, current version.

For NNSA Offices and Elements, compliance of NNSA's communications and information systems with NNSA SD 205.1, *Baseline Cybersecurity Program*, or the most current version of the Directive.

- (4) Implementation of communications requirements for continuity events do not supplant other required notifications and reporting delineated under legislation, implementing regulations, and DOE Orders.

- b. Continuity communications and information systems requirements include:
- (1) Designating continuity personnel (ERG and DERG, if applicable) with dedicated access to required minimum communications capabilities to ensure continual performance of PMEFs and MEFs for a minimum of 30 days following continuity activation, to include:
 - (a) Ensuring communications capabilities are adequately maintained and continuity personnel have necessary access and are properly trained in their use.
 - (b) Planning accordingly for essential functions that require uninterrupted communications and IT support.
 - (2) Ensuring organizations that share an alternate location and communications capabilities with other organizations have a signed agreement with the system owner to ensure each has adequate access to communications and IT resources.
 - (3) Ensuring risk assessments are conducted on all primary and alternate communications and information systems involved in the performance of essential functions, including associated supply chains and facilities such as data processing centers, using all-source intelligence and/or other applicable data and coordinated with Business Impact Analyses (BIAs) for each MEF.
 - (4) Coordinating and integrating communications and information system-specific planning efforts such as DRPs and ISCPs with appropriate organizational entities. In particular, DRPs and/or ISCPs are needed for mission critical systems supporting MEFs, essential support activities, and associated industrial control systems.
 - (5) Coordinating system service levels, including maximum allowable downtime and data back-up frequency requirements with system owners and ensuring this is reflected in the organization's continuity planning products such as the MEF BPA, DRPs, ISCPs, and/or service level agreements, as applicable. If existing service levels do not meet requirements to sustain PMEFs and MEFs, the following options are to be explored:
 - (a) Increase the service levels to meet requirements.
 - (b) Provide access to other networks with the appropriate service levels if such networks exist.
 - (c) Accept the risk in planning documents.

- (6) Including Priority Telecommunications Services in continuity communications and information systems planning.
 - (a) Distributing Government Emergency Telecommunications Service (GETS) cards. The COOP Coordinator in each Headquarters Office can facilitate requesting GETS cards for identified personnel through DOE's designated point of contact to the Department of Homeland Security (DHS) GETS/Wireless Priority Services (WPS) Information Distribution System (GWIDS).
 - 1 Pre-position at least one GETS card for emergency use at all primary and continuity facility locations.
 - 2 Issue GETS cards to all ERG and DERG personnel.
 - (b) Utilizing and activating WPS on cellular phones issued to ERG and DERG personnel, as applicable. The COOP Coordinator in each Headquarters Office can facilitate requesting WPS access for identified personnel through DOE's designated point of contact to DHS GWIDS.
 - (c) Ensuring applicable circuits at primary and alternate locations involved in the performance of MEFs are enrolled in the Telecommunications Service Priority (TSP) Restoration Program.
 - (7) Developing communications plans documentation that provides guidance on how internal and external communications are maintained during a continuity activation.
 - (8) Ensuring Headquarters Offices annually review communications plans for accuracy to ensure they are fully capable of supporting essential functions. Document the date of review and the names of personnel conducting the review.
 - (9) Evaluating each location supporting MEFs to identify and mitigate potential single points of failure in the communications infrastructure.
- c. Additional Requirements for the Secretary and NNSA Administrator. The Secretary and NNSA Administrator's continuity communications and information systems requirements include:
- (1) Ensuring compliance of the Secretary and NNSA Administrator's communications and information systems, including their alternate location(s), with OSTP/OMB D-16-1, Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities.

- (2) Maintaining the capabilities required by OSTP/OMB D-16-1 for Headquarters and at the Secretary's and NNSA Administrator's alternate location(s) and devolution location(s). The Office of Continuity Programs assists in the maintenance of these capabilities.
- (3) Ensuring the communications capabilities required by this Order and OSTP/OMB D-16-1 are maintained and readily available for sustained use for a minimum of 30 days following COOP plan activation.
- (4) Ensuring designated continuity personnel have access to and are properly trained in the use of all OSTP/OMB D-16-1 communications capabilities.
- (5) Ensuring all OSTP/OMB D-16-1 communications capabilities are collocated into one location at alternate locations and that appropriate facility security requirements are met.
- (6) Reviewing annually the Departmental and internal communications plans for accuracy to ensure they are fully capable of supporting essential functions and to document the date of review and the names of personnel conducting the review.
- (7) Evaluating annually the Headquarters, Secretary, and NNSA Administrator's alternate location(s) to eliminate potential single points of failure in the communications infrastructure. This evaluation may be delegated to the Office of Continuity Programs. All Headquarters, Secretary, and NNSA Administrator's alternate locations should achieve logical and physical (alternate route / hybrid mesh network topology) diversity.
- (8) Taking appropriate steps to ensure back-up power, cooling, and other utilities of suitable capacity and reliability are available to support continuous operation of communications at all Headquarters, Secretary, and NNSA Administrator's alternate locations for a minimum of 30 days following COOP plan activation.

4. CLASSIFICATION AND CONTROLLED UNCLASSIFIED INFORMATION REVIEW.

- a. All COOP plans and other continuity-related documents must be reviewed for the presence of classified and/or controlled unclassified information, as required by DOE O 475.2B, Identifying Classified Information, current; DOE O 471.6, Information Security, current version; 32 CFR Part 2001, Classified National Security Information; 32 CFR Part 2002, Controlled Unclassified Information; and 10 CFR Part 1017, Identification and Protection of Unclassified Controlled Nuclear Information. Documents will be marked and handled in accordance with national requirements; DOE and/or NNSA Orders, Directives, Manuals, and Guides; or other government agency classification guides, as appropriate.

- b. COOP plans that do not contain classified or Unclassified Controlled Nuclear Information (UCNI) will be marked, handled, and protected as Official Use Only (OUO) in accordance with DOE Manual (M) 471.3, Manual for Identifying and Protecting Official Use Only Information, current version, or successor policy.
 - c. Freedom of Information Act (FOIA) exemption 7, which addresses Law Enforcement, may apply to OUO COOP plans.
 - d. Any FOIA requests for release of OUO COOP Plans must be coordinated with the cognizant Office of the General Counsel.
5. ROLES AND RESPONSIBILITIES FOR HEADQUARTERS OFFICES. This section provides lists of continuity-related responsibilities for the Department’s senior leaders, heads of Headquarters Offices, COOP Coordinators, ERG and DERG members, and others having specific responsibilities for continuity preparedness, continuity planning, and continuity operations.
- a. Department Senior Leaders.
 - (1) Secretary. The Secretary of Energy is responsible for:
 - (a) Designating an official, at the Assistant Secretary level, to serve as the Continuity Coordinator for the Department.
 - (b) Developing and maintaining continuity programs and plans in support of the NEFs and the continuation of essential functions.
 - (c) Planning, programing, and budgeting for continuity capabilities consistent with PPD-40 and FCD-1.
 - (d) Supporting other continuity requirements to include monthly readiness reporting, as assigned by category (pursuant to PPD-40, DOE is a Category I Department), in accordance with the nature and characteristics of its national security roles and responsibilities.
 - (e) Serving as a member of the ERG.
 - (f) Reviewing, biennially, the PMEFs and MEFs and submitting PMEF validation and updates to the National Continuity Coordinator (NCC) for review.
 - (g) Reporting the Department’s continuity facilities and reconstitution requirements to the U.S. General Services Administration (GSA) and updating the requirements annually, or as otherwise directed, and reporting to GSA.

- (h) Planning and conducting routine internal tests, training, and exercises and, in consultation with the Secretary of Homeland Security, supporting and participating in annual tests, training and exercises in order to evaluate program readiness and ensure adequacy and availability of continuity plans and communications and information services systems.
- (2) Deputy Secretary. The Deputy Secretary is responsible for:
- (a) Serving as the Department’s senior continuity policy official.
 - (b) Ensuring the Office of the Deputy Secretary has a current and signed COOP plan.
 - (c) Ensuring the Office of the Deputy Secretary’s COOP plan is consistent with PPD-40, FCD-1, FCD-2, FMRS, and Executive Order 13961.
 - (d) Ensuring the Office of the Deputy Secretary’s COOP Plan supports the DOE Continuity Plan and its Headquarters Offices and Field Elements’ COOP plans.
 - (e) Ensuring the Department 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.
 - (f) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (g) Approving the DOE Continuity Plan.
 - (h) Serving as a member of the ERG.
 - (i) Initiate succession to the Secretary, if warranted.
- (3) Under Secretary. The Under Secretary is responsible for:
- (a) Ensuring the Office of the Under Secretary has a current and signed COOP plan.
 - (b) Ensuring the Office of the Under Secretary’s COOP plan is consistent with PPD-40, FCD-1, FCD-2, FMRS, and Executive Order 13961.

- (c) Ensuring the Office of the Under Secretary’s COOP plan supports the DOE Continuity Plan, and its Headquarters Offices and Field Elements’ COOP plans.
 - (d) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (e) Serving as a member of the ERG.
 - (f) Preparing to perform succession role, if necessary.
- (4) Under Secretary for Science. The Under Secretary for Science is responsible for:
- (a) Ensuring the Office of the Under Secretary for Science has a current and signed COOP plan.
 - (b) Ensuring the Office of the Under Secretary for Science’s COOP plan is consistent with PPD-40, FCD-1, FCD-2, FMRS, and Executive Order 13961.
 - (c) Ensuring the Office of the Under Secretary for Science’s COOP Plan supports the DOE Continuity Plan, and its Headquarters Offices and Field Elements’ COOP plans.
 - (d) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (e) Serving as a member of the ERG.
 - (f) Preparing to perform succession role, if necessary.
- (5) Under Secretary for Nuclear Security and Administrator of National Nuclear Security Administration. The Under Secretary for Nuclear Security and 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 Administrator’s COOP plan is consistent with PPD-40, FCD-1, FCD-2, FMRS, and Executive Order 13961.
 - (c) Ensuring the Administrator for NNSA’s COOP plan supports the DOE Continuity Plan, and its Headquarters Offices and Field Elements’ COOP plans.

- (d) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (e) Reviewing and approving the NNSA Continuity of Operations Plan.
 - (f) Ensuring maintenance of the Headquarters’ alternate location in a state of readiness to support relocating personnel.
 - (g) Ensuring the availability of the NNSA Albuquerque Complex to serve as a devolution location.
 - (h) Serving as a budget and staffing advocate for the Departmental COOP program.
 - (i) Reviewing and concurring on the DOE Continuity Plan.
 - (j) Serving as a member of the ERG.
 - (k) Preparing to perform succession role, if necessary.
- b. Headquarters Offices. All Headquarters Office leaders are responsible for:
- (1) Developing and implementing a COOP program, as required by PPD-40, FCD-1, FCD-2, FMRS, Executive Order 13961, and this Order.
 - (2) Managing the development and implementation of a COOP plan for their Office.
 - (3) Ensuring the Office’s COOP Plan supports and aligns with the respective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, or Under Secretary for Nuclear Security/Administrator, NNSA, and any subordinate Field Element COOP plans.
 - (4) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (5) Identifying all other than management and operating (M&O) contractors supporting essential functions and ensuring the appropriate contracting official is aware the Contractor Requirements Document (CRD) applies to these contracts.
 - (6) Addressing how the Office identifies and transfers organizational command and control, as well as responsibility for performing essential functions, if applicable, to personnel at a devolution location.

- (7) Approving the Office's COOP plan, including updates, as necessary.
- (8) Reviewing, updating, and providing an electronic copy of the COOP plan to the Office of Continuity Programs, annually.
 - (a) Verify the current DOE/NNSA MEFs and PMEFs.
 - (b) Verify Headquarters Office's current essential functions align to support at least one of the Department's MEFs and PMEFs.
- (9) Ensuring the COOP program and plan addresses the requirements in paragraphs 1 and 2 of this Appendix.
- (10) Identifying the ERG personnel to support COGCON level two requirements, for those Headquarters Offices supporting MEFs and PMEFs.
- (11) Ensuring identification, evaluation, and assessment of potential risks to the MEFs that can include existing risk and hazard assessments, as applicable.
- (12) Approving risk assessments for MEFs, including updates, as applicable.
- (13) Determining whether to accept risk of not performing DOE/NNSA MEFs and ESAs if subordinate Field Elements or M&Os cannot reasonably relocate nor perform the affected MEFs and/or ESAs at an alternate location. Notify the Office of Continuity Programs if DOE/NNSA MEFs and ESAs cannot be performed.
- (14) Implementing operations security and risk management procedures.
- (15) Ensuring COOP plans address cyber-attacks that may affect the Department in the performance of its mission.
- (16) Ensuring integration of Strategic Partnership Projects (formerly known as Work for Others [Non-Department of Energy Funded Work]) with the development and maintenance of the COOP plans.
- (17) Certifying, by date and signature, the Headquarters Office participation in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, for those Headquarters Offices supporting MEFs and PMEFs.
- (18) Developing a process to submit CSRs when required or when directed, for those Headquarters Offices supporting MEFs and PMEFs.
- (19) Notifying the Office of Continuity Programs or Consolidated Emergency Operations Center (CEOC) as soon as possible following the declaration

of a continuity event using the CSR, for those Headquarters Offices supporting MEFs and PMEFs.

- (20) Conducting program evaluations commensurate with the complexity of the Headquarters Office's continuity program in accordance with paragraph 1.b. of this Appendix (Continuous Improvement Program). Complete CRARs and submit to Office of Continuity Programs.
- (21) Notifying the Office of Continuity Programs, through the COOP Coordinator(s), of significant office changes that may affect COOP plan activation.
- (22) Ensuring that within areas of programmatic responsibility, for those Headquarters Offices supporting MEFs and PMEFs, the Office:
 - (a) Establishes and maintains a system or program for 24-hour initial receipt and further dissemination of continuity notifications.
 - (b) Provides specialized technical representatives (including delegated Contracting Officer's Representatives [CORs], M&O CORs, and/or other than M&O CORs) with the requisite authority to provide technical direction and/or initiate changes to applicable contracts) and subject matter experts including M&O and other than M&O contractors when requested.
 - (c) Ensures continuity training and response procedures are adequate in subordinate Field Element programs.
 - (d) Establishes a system or program, compatible with paragraph 2.h., Essential Records Management, of this Appendix, for maintaining essential records that are accessible at alternate locations.
 - (e) Ensures accessibility to and annual testing of recovery strategies for classified and unclassified essential records (including controlled unclassified records), critical information systems, services, and data at the alternate location(s).
 - (f) Ensures infrastructure and training are in place to enable ERG personnel, DERG personnel, and other employees (including contractors), necessary to support essential functions, to work from home or other alternate locations during a continuity event, as applicable.
- (23) Ensuring infectious disease/pandemic planning is taken into consideration during the development and maintenance of Headquarters Office COOP plans. Coordinate with the DOE Office of Environment, Health, Safety

and Security (AU) and review the *Department of Energy Headquarters Pandemic Response Plan* for additional input.

- (24) Identifying the essential function(s) performed by the office as well as developing Essential Function Data Sheets consistent with guidance found in FCD-2. The Office of Continuity Programs will incorporate data sheets in the biennial revalidation of DOE's PMEFs and MEFs.
- (25) Developing a BPA for each DOE/NNSA MEF the Headquarters Office performs. In order to promote uniformity of BPA submissions, offices are highly encouraged to use the Business Process Analysis Data Sheet Template found in FCD-2.
- (26) Performing a documented, annual review of essential functions.
- (27) Establishing an order of succession to key positions within the organization, compliant with FCD-1 and this Order.
 - (a) Develop orders of succession consistent with DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version, as applicable. Orders of succession should annotate personnel in Secretarial Succession.
 - (b) For NNSA, develop orders of succession consistent with NNSA SD 150.1A, *Lines of Succession*, or the most current version of the Directive, as applicable. Orders of succession should annotate personnel in line of succession to the Administrator and/or program offices within NNSA.
- (28) Establishing predetermined delegations of authority, including devolution scenarios, compliant with FCD-1 and this Order.
- (29) Ensuring a system or program is established for issuing, testing, and maintaining accountability of GETS cards issued to all ERG and DERG personnel, including:
 - (a) Ensuring issuance of GETS cards to ERG and DERG personnel within 90 days of assignment.
 - (b) Providing the total number of cards issued to the Office of Continuity Programs.
 - (c) Testing quarterly by ERG and DERG personnel.
- (30) Ensuring a system or program is established for providing WPS capability to any ERG and DERG personnel provided a mobile device, including:

- (a) Ensuring provision of WPS capability is to ERG and DERG personnel within 90 days of assignment.
 - (b) Testing quarterly by ERG and DERG personnel.
- (31) Ensuring the ability to communicate with Field Elements from the Headquarters Offices' primary, alternate and devolution locations to the Field Elements' primary, alternate, and devolution locations, as applicable.
- (32) Identifying and establishing local and remote alternate locations, in coordination with the Office of Continuity Programs.
- (33) Appointing a primary and an alternate COOP Coordinator, responsible for administering the COOP program for and serving as the liaison between the Headquarters Office and the Office of Continuity Programs.
- (a) Inform primary and alternate COOP Coordinator in writing of their continuity roles and responsibilities as specified in the COOP Coordinator Position Description.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate COOP Coordinator.
 - (c) Submit contact information of personnel identified as COOP Coordinators to the Office of Continuity Programs within 15 days of appointment.
- (34) Appointing a primary and an alternate APOC; responsible for coordinating with DOE HC; DOE IM; NA-MB, Office of Continuity Programs, and COOP Coordinators to quarterly test personnel accountability and alert and notification procedures for all personnel in all Headquarters Offices. Also responsible for providing accountability reports as requested by DOE HC, NA-MB, or Office of Continuity Programs during drills, tests, exercises, or real-world events. The COOP Coordinator and APOC roles may be served by the same individual.
- (a) Inform primary and alternate APOCs in writing of their continuity roles and responsibilities.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate APOC.
 - (c) Submit contact information of personnel identified as APOCs to the Office of Continuity Programs and HC within 15 days of appointment.
 - (d) Ensure APOCs have access to system used for accountability in order to generate reports, as applicable.

- (35) Determining ERG personnel, for those Headquarters Offices supporting MEFs and PMEFs.
 - (a) Determine trained personnel necessary to perform the Departments PMEFs and MEFs at an alternate location.
 - (b) Inform primary and alternate ERG personnel in writing of their continuity roles and responsibilities.
 - (c) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate ERG personnel.
 - (d) Submit contact information of personnel identified for ERG to the Office of Continuity Programs within 15 days of appointment.
- (36) Determining DERG personnel, for those Headquarters Offices supporting the MEFs and PMEFs.
 - (a) Determine trained personnel necessary to perform the Departments PMEFs and MEFs at a devolution location. Coordinate with devolution location leadership during the decision-making process.
 - (b) Inform primary and alternate DERG personnel in writing of their continuity roles and responsibilities.
 - (c) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate DERG personnel.
 - (d) Submit contact information of personnel identified for DERG to the Office of Continuity Programs within 15 days of appointment.
- (37) Ensuring the Office’s COOP Coordinator(s) provides updated personnel notification lists on a quarterly basis, upon changes, or as requested to the Office of Continuity Programs.
- (38) Ensuring the COOP plan addresses devolution and identifies a devolution location.
- (39) Ensuring there is an MOA/MOU with the devolution location stating their acceptance of devolution responsibilities. Headquarters Offices should coordinate with Office of Management (MA) or NA-MB, as applicable, and the Office of the General Counsel (GC) or NNSA Office of the General Counsel (NA-GC), as applicable, to ensure the documentation is properly prepared.
- (40) Assisting MA in maintaining [GSA Standard Form 2050 \(SF-2050\), Reconstitution Questionnaire](#).

(41) Establishing an Office specific TT&E program for ERG, DERG and other continuity personnel.

(a) The ERG must participate annually in an exercise to demonstrate their familiarity with continuity plans and procedures and to validate the Office's capability to continue its essential functions. The exercise must:

- 1 Include the deliberate and preplanned movement of ERG members to an alternate site.
- 2 Test and validate intra- and interagency communications capabilities.
- 3 Verify that data and records required to support essential functions at alternate locations are sufficient, complete, current, and accessible to ERG members.
- 4 Maintain situational awareness and outreach with internal and external interdependencies identified in the Office's continuity plan with respect to performance of the essential functions of the Office.
- 5 Demonstrate capability to continue essential functions from telework sites, if used as a continuity strategy, to include accessing and using records, communications, and systems.

(b) The DERG must exercise at least biennially to demonstrate their familiarity with devolution procedures. This exercise may be part of annual continuity exercises (Eagle Horizon) or it may be conducted separately. The exercise must:

- 1 Familiarize DERG members with devolution plan processes and procedures.
- 2 Demonstrate familiarity with reconstitution plans and procedures for the original primary operating facility and replacement primary operating facility.

(42) Paragraph 5.c. below includes Headquarters Offices with additional responsibilities.

c. Headquarters Office Leadership with Additional Responsibilities. The Headquarters Office leadership with additional responsibilities are:

(1) Assistant Secretary for Cybersecurity, Energy Security, and Emergency Response. The Assistant Secretary for Cybersecurity, Energy Security, and Emergency Response (CESER) is responsible for:

- (a) Developing and maintaining a response plan, in coordination with the Office of Intelligence and Counterintelligence (IN) and IM to enable DOE to respond to a cyber event.
 - (b) Developing and maintaining an implementation plan to provide support to Emergency Support Function 12. DOE is the Lead Agency and the Sector-Specific Agency for Emergency Support Function 12, and CESER represents the Department during an activation under the Disaster Relief and Emergency Assistance Act.
- (2) Associate Under Secretary for Environment, Health, Safety and Security. The Associate Under Secretary for AU is responsible for:
- (a) Reviewing and updating the security portion of the all-hazard risk assessment for DOE's primary and alternate locations in coordination with MA, on a biennial basis in accordance with DOE O 470.4, *Safeguards and Security Program*, current version.
 - (b) Assisting in the organization and conduct of annual back-up power tests at Headquarters facilities, in coordination with MA.
 - (c) Providing protection for Headquarters facilities and maintaining executive protection for the Secretary.
 - (d) Developing an infectious disease/pandemic plan with procedures and instructions to address infectious disease/pandemic threats in coordination with HC and Director, Office of Continuity Programs.
 - (e) Developing, implementing, and maintaining policies and procedures for DOE's SECON levels.
- (3) Chief Human Capital Officer. The Chief Human Capital Officer is responsible for:
- (a) Developing and maintaining an implementation plan to provide the infrastructure and training to enable DOE federal employees to work from home or other alternate locations during a continuity event, in coordination with the IM.
 - (b) Providing guidance consistent with U.S. Office of Personnel Management guidance regarding procedures and instructions for federal employees in the event that an infectious disease/pandemic situation threatens one or more DOE facilities, in coordination with AU.

- (c) Providing a corporate system to account for DOE federal employees and contractors after a continuity event at DOE headquarters facilities.
 - (d) Providing personnel accountability information to Office of Continuity Programs for reporting to Department leadership and FEMA.
 - (e) Coordinating with the Office of Continuity Programs, IM, NA-MB, all COOP Coordinators, and all APOCs to quarterly test personnel accountability and alert and notification procedures for all personnel in all Departmental Elements.
- (4) Chief Information Officer. The Chief Information Officer is responsible for:
- (a) Coordinating with the Office of Continuity Programs to ensure compliance with continuity communications directives and guidance, such as:
 - 1 FCD-1, Federal Executive Branch National Continuity Program and Requirements.
 - 2 OSTP/OMB D-16-1, Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities.
 - 3 DOE O 205.1, Department of Energy Cybersecurity Program, current version.
 - (b) Overseeing the process of backing up data and server systems necessary for continued operations and the performance of DOE/NNSA essential functions.
 - (c) Developing an implementation plan, in coordination with HC, to provide the infrastructure and training to enable DOE headquarters federal employees, especially those supporting MEFs and PMEFs, to work from home or other alternate locations during a continuity activation.
 - (d) Developing a response plan, in coordination with CESER and IN, to provide the infrastructure and training to enable DOE to respond to a cyber event.
 - (e) Ensuring establishment of a system for:
 - 1 Issuing GETS cards to Headquarters Offices.

- 2 Maintaining accountability of issued GETS cards.
 - 3 Providing a quarterly report on the testing of GETS cards to the Office of Continuity Programs.
 - (f) Ensuring compliance with Federal Information Security Management Act information security requirements and Federal Information Technology Acquisition Reform Act.
 - (g) Using U.S. Department of Commerce National Institute of Standards and Technology Special Publications 800-34, Rev. 1, *Contingency Planning Guide for Federal Information Systems* and 800-53, Rev. 5, *Security and Privacy Controls for Information Systems and Organizations* to inform the standards and measures for system evaluations.
 - (h) Coordinating with the Office of Continuity Programs, HC, NA-MB, all COOP Coordinators, and all APOCs to quarterly test personnel accountability and alert and notification procedures for all personnel in all Departmental Elements.
 - (i) Coordinating with the Office of Continuity Programs to annually test telework capabilities, to include IT infrastructure required to support telework options during a continuity activation.
 - (j) Participating with the Departmental Essential Records Manager and the Office of Continuity Programs to annually test recovery strategies for essential records, critical information systems, and data.
 - (k) Participating with the Departmental Essential Records Manager and the Office of Continuity Programs to annually test capabilities for protecting essential records and information systems, and for providing access to them from alternate locations.
- (5) Director, Office of Public Affairs. The Director, Office of Public Affairs (PA) 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 communication protocols as well as through websites, e-mails, and public media.
 - (b) Ensuring that reviews of documents, both unclassified and classified, are conducted as required by DOE O 475.2, *Identifying Classified Information*, current version; DOE O 471.6, *Information*

Security, current version; 32 CFR Part 2001, *Classified National Security Information*; and 10 CFR Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*.

- (6) Director, Office of Management. The Director, MA is responsible for:
- (a) Developing an internal contingency plan for headquarters 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 Headquarters Occupant Emergency Plan and the DOE Continuity Plan.
 - (c) Securing and managing ground transportation assets in the event DOE personnel must move out of the NCR.
 - (d) Serving as a single point of contact to secure and coordinate non-commercial aviation support, to include agency-owned aircraft, chartered aircraft, military air, or aviation assets from other government agencies, in the event DOE personnel must move out of the NCR.
 - (e) Preparing an all-hazard risk assessment of DOE's primary and alternate headquarters operating facilities in coordination with AU. MA must update this risk assessment biennially.
 - (f) Preparing for submission, the [GSA SF-336, *Continuity of Operations \(COOP\) Alternate Facility Identification/Certification*](#), for DOE Headquarters and alternate locations.
 - (g) Developing an SOP for reconstitution that various Headquarters Offices and Field Elements will use during this phase of continuity operations.
 - (h) Performing an annual review, update (as applicable), and submission of [GSA SF 2050, *Reconstitution Questionnaire*](#) to GSA.
 - (i) Coordinate with AU and the Office of Continuity Programs to document annual testing of primary and backup infrastructure systems and services, such as power, water, and fuel at alternate operating facilities.

- (7) Director, Office of Intelligence and Counterintelligence. The Director, IN is responsible for:
 - (a) Participating in the quarterly testing of continuity communication systems for use during a continuity event at primary and alternate facilities, in accordance with OSTP/OMB D-16-1.
 - (b) Developing a response plan, in coordination with the CESER and IM, to provide information to enable DOE to respond to a cyber event.
 - (c) Coordinate with the Office of Continuity Programs and with personnel at the Department's devolution site quarterly to test internal and external interoperability and viability of primary and contingency communications and information technology systems.
- (8) Associate Administrator for Management and Budget. The Associate Administrator for NA-MB is responsible for:
 - (a) Overseeing and coordinating exercise and real-world accountability, alerting, and notifications for NNSA Offices and Field Elements with the Office of Continuity Programs and other APOCs.
 - (b) Coordinating with MA during reconstitution to ensure NNSA equities are represented.
 - (c) Executing procurement activities for NNSA during a COOP activation.
- (9) Office of Emergency Operations. Responsibilities for positions within the Office of Emergency Operations are documented in Appendix C.

d. Additional Positions with Coop Responsibilities.

- (1) COOP Coordinators. The Department's COOP Coordinators are responsible for:
 - (a) Administering the Continuity Program for their Headquarters Office or Field Element.
 - (b) Briefing their Headquarters Office/Field Element Leadership on all pertinent continuity related information (i.e., Eagle Horizon Exercise information, anticipated COGCON changes, impending real-world events, etc.).
 - (c) Responding to requests for information (RFIs) from Office of Continuity Programs.

- (d) Reviewing the “Monthly Consolidated Continuity Personnel Roster” (or similar roster if the name of the product changes) on a monthly basis and providing updates as necessary to the Office of Continuity Programs.
 - (e) Reviewing “DOE AWARe Quarterly Updates” spreadsheet (or similar roster if the name of the product changes) on at least a quarterly basis and providing updates as necessary to the Office of Continuity Programs.
 - (f) Attending, in person or virtually, monthly COOP Coordinators Meetings, schedule permitting.
 - (g) Completing the COOP Coordinator training as distributed by Office of Continuity Programs within 180-days of distribution or assignment to the position, as applicable.
 - (h) Coordinating with HC, IM, NA-MB, APOCs, and the Office of Continuity Programs to quarterly test personnel accountability and alert and notification procedures for all personnel in their Headquarters Office.
- (2) PMEF Coordinators. PMEF Coordinators are responsible for:
- (a) Leading and coordinating the planning and execution of PMEFs.
 - (b) Coordinating with supporting MEF Coordinators to determine the overall status of their respective PMEF.
 - (c) Communicating PMEF status with Departmental leadership and with external partners, as appropriate.
 - (d) Serving on the Continuity Coordination Group (CCG), when activated.
- (3) MEF Coordinators. MEF Coordinators are responsible for:
- (a) Leading and coordinating the planning and execution of MEFs.
 - (b) Coordinating with internal and external partners to control and direct execution of their MEF.
 - (c) Determining the status of MEF operations.
 - (d) Coordinating with internal partners to determine status of operations and actions comprising the MEF.

- (e) Compiling all MEF component operational status to determine overall MEF status.
 - (f) Communicating readiness with Departmental leadership and PMEF Coordinators.
 - (g) Serving on the CCG when activated.
- (4) ESA Coordinators. ESA Coordinators are responsible for:
- (a) Leading and coordinating the planning and execution of Enterprise-wide ESAs (listed in the DOE Continuity Plan).
 - (b) Leading and coordinating the planning and execution of Enterprise-wide ESAs.
 - (c) Coordinating with internal and external partners to control and direct execution of their ESA(s).
 - (d) Determining the status of ESA operations.
 - (e) Communicating readiness with Department leadership and MEF Coordinators.
- (5) Headquarters Office ERG Members. Headquarters Office ERG leadership or support personnel are responsible for:
- (a) Responding to real-world events when notified through the proper procedures. Personnel should be prepared to respond with minimal delay.
 - (b) Receiving training at their respective alternate location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (c) Participating in continuity related TT&E events as requested by Department and/or NNSA. These events include GETS/WPS testing, accountability drills, Mid-Year Training events, Eagle Horizon exercises, etc.
- (6) Headquarters Office DERG Members. Headquarters Office DERG leadership or support personnel are responsible for:
- (a) Responding to real-world events when notified through the standard procedures. Personnel should be prepared to respond with minimal delay.

- (b) Receiving training at their respective devolution location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (c) Participating in continuity related TT&E events as requested by Department and/or NNSA, as applicable. These events include GETS/WPS testing, accountability drills, Mid-Year Training events, and Eagle Horizon exercises, among others.
- (7) Contracting Officers. Contracting Officers (Cos) are responsible for the following:
- (a) For M&O contracts directly performing or supporting DOE/NNSA essential functions: Upon notification by the Head of the Departmental Element or his or her designee, incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. The CO must incorporate the CRD without alteration unless the CRD permits alteration and the CO follows the appropriate process, or unless requirements are tailored per Department of Energy Acquisition Regulation (DEAR) 970.5204-2.
 - (b) For Non-M&O contracts directly performing or supporting DOE/NNSA essential functions: Upon notification by the Head of the Departmental Element or his or her designee, incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. The CO should attempt to incorporate the CRD bilaterally. If unsuccessful, the CO must consult with the Head of the Departmental Element or appropriate program official. The CO must incorporate the CRD without alteration unless following the appropriate process for exemption/equivalency.
 - (c) As applicable, designate and authorize in writing CORs to perform specific technical or administrative functions consistent with DOE Order 541.1C, *Appointment of Contracting Officers and Contracting Officer Representatives*, or the most current version of the Order.
- (8) Departmental Essential Records Manager. The Departmental Essential Records Manager is responsible for:
- (a) Participating with IM and the Office of Continuity Programs to annually test recovery strategies for essential records, critical information systems, services, and data.
 - (b) Participating with IM and the Office of Continuity Programs to annually test capabilities for protecting essential records and

information systems and for providing access to them from alternate locations.

- (9) Accountability Points-of-Contact. APOCs are responsible for:
- (a) Coordinating with HC, IM, NA-MB, COOP Coordinators, and Office of Continuity Programs to quarterly test personnel accountability and alert and notification procedures for all personnel in their Headquarters Office.
 - (b) Providing accountability reports, as requested by HC, NA-MB, IM, or the Office of Continuity Programs during drills, tests, exercises, or real-world events.

APPENDIX B: REQUIREMENTS FOR FIELD ELEMENTS

This Appendix documents Department of Energy (DOE) Order (O) 150.1B requirements placed upon all Field Elements in the areas of Continuity Program Management, Continuity of Operations (COOP) Plans, and Communications and Information Systems. This Appendix also provides a list of the Roles and Responsibilities of leadership of Field Elements and select continuity personnel, as well as instructions regarding classification and controlled unclassified information review.

Field Elements that do not directly perform or support DOE or National Nuclear Security Administration (NNSA) Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), or associated Essential Supporting Activities (ESAs)—as documented in the biennial PMEF/MEF Revalidation Package or Enterprise-wide Business Process Analysis (BPA)—are subject to a reduced set of requirements. Appendix B notes those requirements that do not apply to Field Elements that do not directly perform or support DOE/NNSA PMEFs, MEFs, and ESAs.

1. CONTINUITY PROGRAM REQUIREMENTS FOR FIELD ELEMENTS.

- a. **Program Management.** At the Field Element level, the continuity program must meet the following requirements or reference overarching plans that integrate crosscutting continuity/devolution capabilities and responsibilities:
 - (1) Include all the Continuity Capability Elements, as applicable, and meet the applicable requirements as listed in Federal Continuity Directive 1 (FCD-1), Federal Executive Branch National Continuity Program and Requirements; and FCD-2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process.
 - (2) Address the operating requirements specific to each Field Element's role in performing the Department's PMEFs, MEFs, and ESAs as applicable. It is recognized that each individual DOE and NNSA Field Element may have unique operating realities which are not universal across all Field Elements. Therefore, Field Element Managers may seek an equivalency or exemption that will meet the specific operating realities of their site, so long as the underlying requirements contained in Federal Continuity Directives and this Order are met.
 - (3) Provide personnel accountability reports (including initial reports and updates, if applicable) to the DOE Office of the Chief Human Capital Officer (HC) upon request. In addition, NNSA Elements will also provide the information to NNSA's Management and Budget (NA-MB) office. Additional personnel accountability requirements for Field Elements include:

- (a) Provide the DOE HC and the Office of Continuity Programs with the name and contact information for the Accountability Point-of-Contact (APOC) for the Field Element.
- (b) Identify, document, and execute a process to account for all personnel supporting DOE in the following conditions:
 - 1 Field Elements will account for continuity personnel and alternates supporting DOE within 12 hours of activation during real-world events.
 - 2 Field Elements will account for all other employees supporting DOE within the affected area within 5 days after activating an organization's continuity plan during real-world events.
 - 3 Field Elements will account for all employees supporting DOE (not limited to continuity personnel) during accountability drills and other exercises.
- (c) Address any additional guidance for the accountability process as released by the DOE HC and/or the Office of Continuity Programs.
- (d) Field Elements will participate in quarterly accountability drills conducted by the DOE HC and the Office of Continuity Programs.
 - 1 Field Elements can submit a request for an exemption from participating in a quarterly drill on an as needed basis.
 - 2 Requests are to be submitted in writing to the Director, Office of Continuity Programs. Exemptions will be considered and granted, as appropriate, by the Associate Administrator and Deputy Under Secretary for Emergency Operations.
- (4) Ensure processes and communications capabilities are in place to communicate with Headquarters Offices' primary, alternate, and devolution locations.
- (5) Ensure the ability to communicate with Headquarters Offices from the Field Element's primary, alternate, and devolution locations, as applicable.
- (6) Designate a primary and alternate COOP Coordinator tasked to administer the COOP program at each Field Element.
- (7) Identify the essential functions, if applicable, performed by each Field Element and develop Essential Function Data Sheets consistent with guidance found in FCD-2. Field Elements will submit Essential Function

Data Sheets to the Office of Continuity Programs biennially, who will incorporate data sheets into the biennial revalidation of DOE/NNSA's MEFs and PMEFs.

- (8) Develop a BPA for each DOE/NNSA MEF the Field Element performs and submit each BPA to the Office of Continuity Programs biennially. In order to promote uniformity of BPA submissions, offices are highly encouraged to use the Business Process Analysis Data Sheet Template found in FCD-2. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (9) For Field Elements serving as a devolution location for a Headquarters Office, the Field Element must coordinate with the respective Headquarters Office to ensure there is a Memorandum of Agreement or Memorandum of Understanding (MOA/MOU) with the Headquarters Office. The Field Element must state their acceptance of devolution responsibilities in the MOA/MOU. Field Elements should also coordinate with Office of Management (MA) or NA-MB, as applicable, and the Office of the General Counsel (GC) or NNSA Office of the General Counsel (NA-GC), as applicable, to ensure the documentation is properly prepared.
- (10) Address how the Field Element will identify and transfer organizational command and control, as well as responsibility for performing essential functions, if applicable, to personnel at a geographically dispersed devolution partner unaffected by the incident. At a minimum, each Field Element is to consider whether they can identify a suitable devolution partner who can receive command and control responsibilities related to providing control and direction, addressing contracting issues, accounting for all personnel, retrieving essential records, and beginning the process to address reconstitution. Additional devolution requirements, if applicable, include:
 - (a) Develop an MOA/MOU between the Field Element and the devolution partner to ensure common understanding of what responsibilities are devolving.
 - (b) Share BPAs and any other applicable information regarding essential functions to assist the devolution partner in understanding what functions were performed at the Field Element and how to perform any functions transferred.
 - (c) Share information related to contracts, personnel, facilities, essential records, and other material necessary for the devolution partner to effectively execute its role in performing command and control responsibilities.

- (d) Assist in training Devolution Emergency Response Group (DERG) personnel to perform any functions transferred.
- (11) Certify annually, by date of signature, the Field Element maintains a continuity plan. Subordinate organizations may reference overarching plans that integrate crosscutting continuity/devolution capabilities and responsibilities.
- (12) Certify, by date of signature, the Field Element participates in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, if applicable. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (13) Identify continuity requirements that will ensure appropriate and necessary resources are available to meet established regulatory requirements. Resources should be sought to address the following goals, if applicable:
 - (a) Establish and maintain a viable continuity program.
 - (b) Acquire and maintain resources, equipment, and supplies necessary to sustain operations and personnel at alternate locations for a minimum of 30 days.
 - (c) Establish techniques and procedures to streamline standard process and support emergency acquisitions of equipment, supplies, services, and personnel to support continuity operations.
 - (d) Integrate continuity funding and acquisition requirements, as applicable, into existing and future contracts and MOAs/MOUs, as applicable, to ensure the continuation of MEFs.
 - (e) Integrate continuity funding and acquisition requirements, as applicable, into annual tasks and objectives, performance metrics, and mandatory reporting.
- (14) Synchronize efforts with other Departmental risk management requirements to implement operations security (OPSEC) and risk management procedures, including geographically dispersed staff; resilient and redundant communications; force protection; identity management; and personnel accountability to protect continuity programs, facilities, networks, information, personnel, and plans from a broad spectrum of threats. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. Additional risk management requirements include:

- (a) Complete an initial, biennial and, in the case of emerging threats, an as needed Business Impact Analysis (BIA). The BIA is used in identifying, analyzing, assessing, and prioritizing risks to continuity and threats capable of impacting essential functions.
 - (b) Produce a risk matrix showing known or potential risks, measuring the probability of risk-event occurrence, and illustrating the severity of impact should an event be realized.
 - (c) Identify appropriate risk mitigation strategies and threat countermeasures, including:
 - 1 A cost-benefit analysis of risk mitigation and threat management control measures.
 - 2 For unacceptable risks, a plan to implement mitigation, management, or control measures to reduce the impacts of catastrophic emergencies, including pandemic/infectious disease outbreak.
 - 3 Signature of Acknowledgement of risk by the Continuity Manager, Continuity Coordinator, or by the organization's senior executive.
- (15) Maintain records needed for continuity operations as part of an essential records program in accordance with DOE O 243.1, *Records Management Program*, current version. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (16) Establish and implement a test, training, and exercise (TT&E) program, with support from the Office of Continuity Programs, to ensure Emergency Relocation Group (ERG) and DERG personnel are prepared to perform essential functions at alternate sites, as applicable. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (17) Provide annual training on roles and responsibilities for personnel, including government and contractor personnel, assigned to activate, support, and sustain devolution operations, as applicable. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The training must include:
- (a) Field Element devolution plans, processes, and procedures.
 - (b) Communications and information technology (IT) systems that will be used during devolution operations.

- (c) Identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software as well as equipment needed to support devolved essential functions during devolution operations.
 - (d) How the Field Element identifies and performs/supports its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency that activates the devolution plan.
- (18) For Field Elements serving as a devolution location for a Headquarters Office, the Field Element must, at minimum, biennially exercise Headquarters-level counterparts on the DERG to demonstrate their familiarity with devolution procedures. This exercise may be part of an annual continuity exercise (such as Eagle Horizon) or it may be conducted separately. The exercise must:
 - (a) Familiarize DERG personnel with devolution plans, processes, and procedures.
 - (b) Familiarize DERG personnel with reconstitution plans and procedures for returning to normal operations at an original primary operating facility or at a replacement primary operating facility.
- (19) Conduct a biennial exercise for DERG members at the devolution site of the Field Element to maintain familiarity with devolution procedures, as applicable. This requirement does not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The exercise must:
 - (a) Familiarize DERG personnel with devolution plan, processes, and procedures.
 - (b) Familiarize DERG personnel with reconstitution plans and procedures for returning to normal operations at the original primary operating facility or replacement primary operating facility.
- (20) Develop a process to submit a Continuity Status Reporting Form (CSR) to the Office of Continuity Programs during a change of continuity condition, including Federal Emergency Management Agency (FEMA)-directed Continuity of Government Readiness Conditions (COGCON) changes, a continuity incident, and/or plan activation.
- (21) Address Continuous Improvement Program requirements found in paragraph 1.b. below. This requirement does not apply to Field Elements

that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.

- b. Continuous Improvement Program. Each Field Element will develop a methodology/program for continuous improvement of their continuity program. The methodology/program may be part of another readiness assurance/continuous improvement program. With the exception of annual Continuity Readiness Assurance Report (CRAR) submission requirements expected from all Field Elements, Continuous Improvement Program requirements do not apply to Field Elements that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The continuous improvement consists of the following components:

- (1) Program Evaluations. All Field Elements are responsible for monitoring and/or ensuring completion of the following items within its own Field Element:
 - (a) Identify findings (e.g., strengths, improvements, deficiencies) in continuity programs; testing, training, and exercises; plans; and procedures.
 - (b) Each Field Element must seek a program evaluation by an entity not directly involved with the development of that COOP program or by the Office of Continuity Programs at least once every 3 years to ensure compliance with the Order. Results must be documented in the CRAR.
 - (c) Evaluations are to be based on the requirements of Presidential Policy Directive (PPD) 40, *National Continuity Policy*; Office of Science and Technology Policy / Office of Management and Budget Directive 16-1 (OSTP/OMB D-16-1), *Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities*; FCD-1; FCD-2; Federal Mission Resilience Strategy (FMRS); Executive Order 13961, *Governance and Integration of Federal Mission Resilience*, and this Order.
 - (d) Evaluations of the COOP program may be combined with other evaluation programs.
 - (e) CRARs must identify what the goals were for the fiscal year that ended, the degree to which these goals were accomplished, and goals for the next fiscal year.

- 1 All Field Elements use the CRAR to document that the office participated in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate site, and the date of the exercise.

- 2 All Field Elements may submit CRARs as appendices to Emergency Readiness Assurance Plans, if applicable.
 - 3 CRARs must be provided to the Office of Continuity Programs by November 30 of each year.
- (2) Improvements. All Field Elements must ensure appropriate and timely improvements are made to their specific program in response to needs identified through coordinated COOP planning, resource allocation, program assistance activities, evaluations, training, drills, exercises, and actual COOP activations.
 - (3) Corrective Actions. A Corrective Action Program (CAP) must be developed and implemented to assist in documenting, prioritizing, and resourcing continuity issues identified during testing, training, exercises, evaluations, and actual COOP activations.
 - (a) Corrective Action Plans must be developed within 45 calendar days of receipt of a final report from an exercise, real-world event, or evaluation.
 - (b) Corrective actions must be completed as soon as feasible.
 - (c) Corrective actions addressing revision of procedures or training of personnel should be completed before the next self-evaluation of the program.

2. REQUIREMENTS FOR FIELD ELEMENT COOP PLANS.

- a. Background. In accordance with PPD-40, the Department shall develop and implement comprehensive COOP plans, including devolution and reconstitution, where applicable, in order to increase survivability and ensure continuous performance and delivery of PMEFs, MEFs, and ESAs that support the National Essential Functions (NEFs) under all circumstances. This Appendix to the Order addresses requirements to be addressed in COOP plans for all Field Elements.
 - (1) Essential functions are critical activities that directly perform or support a DOE/NNSA PMEF, MEF, or ESA and must be sustained during all phases of a continuity event.
 - (2) PMEFs are those MEFs that must be continuously performed to support or implement the uninterrupted performance of NEFs.
 - (3) MEFs are the essential functions directly related to accomplishing the organization's mission as set forth in its statutory or executive charter.
 - (4) ESAs are functions that support performance of MEFs or PMEFs but do not reach the threshold of MEFs or PMEFs. ESAs are important in

facilitating continuity activities necessary to sustain MEFs or PMEFs (e.g., providing a secure workplace, ensuring computer systems are operating); however, the sole performance of ESAs does not directly accomplish an organization's mission.

- b. Federal Continuity Documents. All Department COOP plans will comply with PPD-40, FCD-1, FCD-2, FMRS, Executive Order 13961, and this Order. The exception is when a COOP plan is included as a part of a higher-level COOP plan which meets these requirements, as described in paragraph 2.c.(2) below.

All COOP plans will address all Continuity Capability Elements of a viable continuity program. Each Field Element COOP plan should provide the level of detail appropriate to the operating realities of the Field Element—meaning, if the Field Element does not perform essential functions or has no process to devolve, then those respective sections of the COOP plan should document they have no essential functions nor devolution capabilities. The Continuity Capability Elements to be documented in each COOP plan are listed below:

- (1) Program management, plans, and procedures.
- (2) Essential functions.
- (3) Orders of succession.
- (4) Delegations of authority.
- (5) Communications and information systems.
- (6) Essential records management.
- (7) Alternate locations.
- (8) Human resources.
- (9) Devolution.
- (10) Reconstitution.
- (11) TT&E.

- c. Program Management, Plans, and Procedures. In addition to the requirements of FCD-1, all Field Elements are to address the following requirements:

- (1) All Field Elements, regardless of location and function, must maintain a continuity capability documented in a COOP plan, or an Annex or Appendix to a parent organization COOP plan, addressing the requirements found in the documents listed in paragraph 2.b., in this Appendix (Federal Continuity Documents).

- (2) All Field Elements will ensure their COOP plans are in alignment with the DOE COOP planning structure. This structure builds unity of effort across the DOE COOP planning enterprise by directing the alignment of COOP plans from the DOE Continuity Plan through Field Element COOP plans.
 - (a) The DOE Continuity Plan is supported by the collective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, Under Secretary for Nuclear Security, and their respective Headquarters Office and Field Element COOP plans.
 - (b) Headquarters Office COOP plans will support and align with the respective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, or Under Secretary for Nuclear Security and any subordinate Field Element COOP plans.
 - (c) The Field Element COOP plans will align with and support the respective Deputy- or Under Secretary-level COOP plan, Headquarters Office COOP plan, or other higher-level Field Element COOP plan.
- (3) All COOP plans must be signed by the Organization Head, such as the Secretary, Deputy Secretary, Under Secretary, Director, Administrator, Field Element Manager, or designee.
- (4) All COOP plans must document the requirement for an annual review of the COOP plan and associated system-specific plans, such as Disaster Recovery Plans (DRPs) and Information System Contingency Plans (ISCPs), if applicable, with updates to the plans being required, as applicable. The date of review and names of personnel conducting the review must be recorded. Annual review will include contacting the Office of Continuity Programs to:
 - (a) Verify current DOE/NNSA PMEFs and the MEFs mapped to support each PMEF.
 - (b) Verify current DOE/NNSA MEFs and the Field Elements mapped to support each MEF.
- (5) All COOP plans must identify support for Essential Functions of other Federal Agencies through Strategic Partnership Projects, as applicable. DOE O 481.1E, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version, provides additional information regarding Strategic Partnership Projects.
- (6) All COOP plans must define a methodology to ensure applicable continuity operations can be sustained for a minimum of 30 days

following a catastrophic emergency or until normal operations are resumed. This includes planning for challenges posed by continuity events that extend past 30 days.

- (7) All COOP plans must establish a process to complete and submit CSR forms to the Office of Continuity Programs during any change in continuity status.
 - (8) All COOP plans must list an ERG, consisting of leadership, staff, and functional support elements capable of relocating to alternate locations, as applicable, to support the performance of essential functions.
 - (9) All COOP plans must identify the process to account for all personnel during real-world activations, drills, tests, and exercises.
 - (10) All COOP plans must document a decision-support process and define event triggers, including responses, as applicable, to COGCON changes in the National Capital Region (NCR), Security Condition (SECON) changes, and other local readiness conditions, as applicable. This process should inform timely and accurate COOP plan activation, with and without warning, during duty and non-duty hours.
 - (11) All COOP plans must provide procedures for identifying, maintaining, activating, and sustaining alternate locations and the transition of essential functions to continuity personnel, as applicable.
 - (12) All COOP plans must define processes for attaining full operational capability at an alternate location(s), as applicable, as soon as possible, but no later than 12 hours following COOP plan activation, and reporting operational capability. Operational capability reporting must reflect the status of PMEFs and/or MEFs supported by the Field Element and/or its subordinate Elements.
 - (13) Field Elements have flexibility in the format of their plans, provided they meet the requirements of this Order. Field Elements have the flexibility to establish one COOP plan, or multiple COOP plans for the site with contractors, eliminating the need to develop separate plans. The Field Element and contractor can make the determination through collaboration to decide the most effective option.
- d. Essential Functions. In addition to the requirements of FCD-1, the content of each COOP plan must:
- (1) Define which of the Department's PMEFs and/or MEFs the Field Element supports, if any.

- (2) Identify, prioritize, and document ESAs. These functions remain essential to the Department's overall continued performance of the PMEFS and MEFs.
- e. Orders of Succession. In addition to the requirements of FCD-1, all Field Elements are to address the following requirements, if applicable:
- (1) DOE Field Elements, and NNSA Field Elements having an out-of-area successor to the Secretary, are to list orders of succession consistent with DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version. Orders of succession should annotate personnel in Secretarial Succession, including provisions for devolution or successors located at Field Elements outside the NCR.
 - (2) NNSA Field Elements are to list orders of succession consistent with NNSA Supplemental Directive (SD) 150.1A, *Lines of Succession* (or the most current version of the Directive). Orders of succession should annotate personnel line of succession to the Administrator and/or program offices within NNSA.
- f. Delegations of Authority. There are no exceptions/additions to the requirements provided in FCD-1.
- g. Communications and Information Systems. There are no exceptions/additions to the requirements provided in FCD-1.
- h. Essential Records Management. In addition to the requirements of FCD-1, the content of each COOP plan must:
- (1) Identify, document, position, and protect any applicable essential records in accordance with DOE O 243.1, *Records Management Program*, current version, and in compliance with FCD-1.
 - (2) Ensure all records necessary to support the PMEFS, MEFs, and ESAs are included in the essential records.
 - (3) Ensure essential records are available and accessible to ERG personnel and DERG personnel, as applicable, at their respective alternate location.
- i. Alternate Locations. In addition to the requirements of FCD-1, all Field Elements are to address the following requirements:
- (1) List the location(s) of the Field Element's COOP relocation site(s) and devolution site(s), as applicable. Identify the MEFs and ESAs, if any, that can be performed at each alternate location.
 - (a) Consider the use of local sites to act as alternate locations to maintain organizational command and control and accountability

when the Field Element cannot move essential functions to an alternate location(s).

- (b) In the event that MEFs and ESAs performed by the Field Element or their respective contractor cannot be reasonably moved nor performed at an alternate location, the Field Element Manager or cognizant DOE/NNSA Headquarters Office Leadership may accept the risk of not performing any affected MEFs or ESAs. In such a case, the Field Element Manager or cognizant DOE/NNSA Headquarters Office Leadership must document acceptance of risk and inform the Office of Continuity Programs.

- (2) Ensure alternate locations are aware of all responsibilities when Field Elements activate COOP and devolution plans. This information should be included in an MOA/MOU between the Field Element and its alternate location(s). *

j. Human Resources. In addition to the requirements of FCD-1, the content of each COOP Plan must:

- (1) Reference procedures verifying need to know and for providing ERG and DERG personnel with the appropriate security clearances, as applicable, and with the training and resources needed to perform their prescribed continuity roles and responsibilities.
- (2) Reflect human resources planning for COOP that encompasses the Federal and Departmental policies regarding employees in an emergency, as applicable, and follows requirements of 5 Code of Federal Regulations (CFR) Part 550, Subparts A and D, or the most current version of the Regulation, and DOE O 322.1C Change 1, *Pay and Leave Administration and Hours of Duty*, current version.
- (3) Clearly define the expectations, roles, and responsibilities of continuity personnel, including the roles and responsibilities in paragraph 5 of this Appendix.

k. Devolution. In addition to the requirements of FCD-1, the content of each COOP plan must (if applicable):

- (1) Identify a DERG, as appropriate, consisting of personnel necessary to support the performance of organizational command and control, accountability, and essential functions, as applicable, at a devolution site.
- (2) Ensure the devolution site is aware of all responsibilities when Headquarters Offices activate devolution plans. This information should be included in an MOA/MOU between the devolving organization and the devolution location. Additional information regarding devolution

requirements is provided in paragraph 1.a.(9), (a) through (d) of this Appendix.

- (3) Identify devolution partner(s) and the process for transitioning essential functions to devolution personnel, as applicable.

Consider Field Elements performing similar functions, as applicable, or their parent Headquarters Office as devolution partner(s).

- (4) Define a devolution process for the Field Element. This process must:
 - (a) Define the devolution partner(s). The devolution partner(s) must agree, in writing, to designation as a devolution partner and be willing to provide DERG personnel, as necessary.
 - (b) Include devolution of, at a minimum, Field Element command and control, and personnel accountability.
 - (c) Include the transfer of all essential records, including BPA documentation.
 - (d) Include devolution of essential functions, if functions can be devolved to another location.

- l. Reconstitution. In addition to the requirements of FCD-1, all Field Elements are to address the following requirements:

- (1) Designate a Reconstitution Manager to oversee all phases of the reconstitution process. The Reconstitution Manager may vary based on the initiating event.
- (2) Record information similar to what is included in a General Services Administration Standard Form 2050 (SF-2050), Reconstitution Questionnaire, and maintain this information with the essential records.
- (3) Ensure any additional information needed to reconstitute is included in and protected with the essential records.
- (4) Detail the process to verify operational capability and availability of systems, communications, essential records, infrastructure, and other required resources. Establish that the Field Element is fully capable of accomplishing all essential functions and operations at the new or restored facility.

- m. Test, Training, and Exercises. There are no exceptions/additions to the requirements provided in FCD-1. TT&E requirements are addressed in paragraph 1 of this Appendix (Continuity Program Requirements for Field Elements).

3. COMMUNICATIONS AND INFORMATION SYSTEMS REQUIREMENTS FOR FIELD ELEMENTS.

a. All Field Elements performing DOE/NNSA MEFs have responsibility for ensuring the availability, diversity, and redundancy of critical communications and information systems needed to sustain MEFs. Field Elements should coordinate with the DOE Office of the Chief Information Officer (IM), NNSA Office of Information Management and Chief Information Officer (NA-IM), and/or the Office of Continuity Programs if they need assistance in addressing communications and information systems requirements. In order to address communications and information systems requirements, all Field Elements must ensure:

(1) Availability of communications and information systems with sufficient resilience and contingencies necessary to perform essential functions, immediately or no later than 12 hours after activation, at primary and alternate locations.

(a) Systems must support connectivity among key leadership, internal elements, other organizations, and the public under all conditions.

(b) Communications capabilities must be interoperable and of sufficient quantity and mode/media to enable redundant and survivable connectivity with essential function partners.

(2) Compliance of the Department's communications and information systems with FCD-1.

(3) Compliance of the Department's communications and information systems with DOE O 205.1, *Department of Energy Cybersecurity Program*, current version.

For NNSA Offices and Elements, compliance of NNSA's communications and information systems with NNSA SD 205.1, *Baseline Cybersecurity Program*, or the most current version of the Directive.

(4) Implementation of communications requirements for continuity events do not supplant other required notifications and reporting delineated under legislation, implementing regulations, and DOE Orders.

b. Continuity communications and information systems requirements include:

(1) Designating continuity personnel (ERG and DERG, if applicable) with dedicated access to required minimum communications capabilities to ensure continual performance of PMEFs and MEFs for a minimum of 30 days following continuity activation, to include:

- (a) Ensuring communications capabilities are adequately maintained and continuity personnel have necessary access and are properly trained in their use.
 - (b) Planning accordingly for essential functions that require uninterrupted communications and IT support.
- (2) Ensuring organizations that share an alternate location and communications capabilities with other organizations have a signed agreement with the system owner to ensure each has adequate access to communications and IT resources.
- (3) Ensuring risk assessments are conducted on all primary and alternate communications and information systems involved in the performance of essential functions, including associated supply chains and facilities such as data processing centers, using all-source intelligence and/or other applicable data and coordinated with BIAs for each MEF.
- (4) Coordinating and integrating communications and information system-specific planning efforts such as DRPs and ISCPs with appropriate organizational entities. In particular, DRPs and/or ISCPs are needed for mission critical systems supporting MEFs, essential support activities, and associated industrial control systems.
- (5) Coordinating system service levels, including maximum allowable downtime and data back-up frequency requirements with system owners, and ensuring this is reflected in the organization's continuity planning products such as the MEF BPA, DRPs, ISCPs, and/or service level agreements, as applicable. If existing service levels do not meet requirements to sustain PMEFs and MEFs, the following options are to be explored:
 - (a) Increase the service levels to meet requirements.
 - (b) Provide access to other networks with the appropriate service levels if such networks exist.
 - (c) Accept the risk in planning documents.
- (6) Including Priority Telecommunications Services in continuity communications and information systems planning.
 - (a) Distributing Government Emergency Telecommunications Service (GETS) cards. The COOP Coordinator in each Field Element can facilitate requesting GETS cards for identified personnel through DOE's designated point of contact to the Department of Homeland

Security (DHS) GETS/Wireless Priority Services (WPS)
Information Distribution System (GWIDS).

- 1 Pre-position at least one GETS card for emergency use at all primary and continuity facility locations.
 - 2 Issue GETS cards to all ERG and DERG personnel.
- (b) Utilizing and activating WPS on cellular phones issued to ERG and DERG personnel, as applicable. The COOP Coordinator in each Field Element can facilitate requesting WPS access for identified personnel through DOE's designated point of contact to DHS GWIDS.
- (c) Ensuring applicable circuits at primary and alternate locations involved in the performance of MEFs are enrolled in the Telecommunications Service Priority (TSP) Restoration Program.
- (7) Developing communications plans documentation that provides guidance on how internal and external communications are maintained during a continuity activation.
- (8) Ensuring Field Elements annually review communications plans for accuracy to ensure they are fully capable of supporting essential functions. Document the date of review and the names of personnel conducting the review.
- (9) Evaluating each location supporting MEFs to identify and mitigate potential single points of failure in the communications infrastructure.

4. CLASSIFICATION AND CONTROLLED UNCLASSIFIED INFORMATION REVIEW.

- a. All COOP plans and other continuity-related documents must be reviewed for the presence of classified and/or controlled unclassified information, as required by DOE O 475.2, *Identifying Classified Information*, current version; DOE O 471.6, *Information Security*, current version; 32 CFR Part 2001, *Classified National Security Information*; 32 CFR Part 2002, *Controlled Unclassified Information*; and 10 CFR Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*. Documents will be marked and handled in accordance with national requirements; DOE and/or NNSA Orders, Directives, Manuals, and Guides; or other government agency classification guides, as appropriate.
- b. COOP plans that do not contain classified or Unclassified Controlled Nuclear Information (UCNI) will be marked, handled, and protected as Official Use Only (OUO) in accordance with DOE Manual (M) 471.3, *Manual for Identifying and Protecting Official Use Only Information*, current version, or successor policy.

- c. Freedom of Information Act (FOIA) exemption 7, which addresses Law Enforcement, may apply to OUO COOP plans.
 - d. Any FOIA requests for release of OUO COOP Plans must be coordinated with the cognizant Office of the General Counsel.
5. ROLES AND RESPONSIBILITIES FOR FIELD ELEMENTS. This section provides lists of continuity-related responsibilities for Field Element managers, COOP Coordinators, ERG and DERG members, and others having specific responsibilities for continuity preparedness, continuity planning, and continuity operations.
- a. Field Element Managers. The Field Element Managers are responsible for:
 - (1) Developing, implementing, maintaining, and updating, as necessary, a COOP program consistent with Federal Directives and this Order. Field Element Managers may establish this COOP program in conjunction with the contractors on-site or as a separate program.
 - (2) Ensuring the Field Element’s COOP plan aligns with and supports the higher echelon COOP plan and any subordinate element COOP plans. Examples of higher echelon plans may include a Headquarters Office COOP plan or a Program Office COOP plan.
 - (3) Ensuring planners consider key tenets of the FMRS during COOP Plan development, including the “assess, distribute, and sustain planning model.”
 - (4) Reviewing and approving the COOP or business continuity plans, including updates, as necessary.
 - (a) Validate the current DOE/NNSA MEFs and PMEFs.
 - (b) Verify Field Element’s current essential functions align to support applicable DOE/NNSA MEFs, PMEFs, and/or overall mission.
 - (5) Identifying all other than Management and Operating (M&O) contractors supporting essential functions and ensuring the appropriate contracting official is aware the Contractor Requirements Document (CRD) applies to these contracts.
 - (6) Certifying annually, by date and signature, the Field Element maintains a COOP plan. Subordinate organizations may reference overarching COOP plans that integrate crosscutting continuity/devolution capabilities and responsibilities.
 - (7) Identifying continuity budgetary requirements and providing adequate funding to support the COOP program, if the Field Element directly performs or supports DOE/NNSA PMEFs, MEFs, or ESAs.

- (8) Approving risk assessments for MEFs, including updates, as applicable.
- (9) Ensuring identification, evaluation, and assessment of potential risks to the MEFs that can include existing risk and hazard assessments, as applicable.
- (10) Determining whether to accept risk of not performing DOE/NNSA MEFs and ESAs if the M&O cannot reasonably relocate nor perform the affected MEFs and/or ESAs at an alternate location. Notify the Office of Continuity Programs if DOE/NNSA MEFs and ESAs cannot be performed.
- (11) Synchronizing efforts with other Departmental risk management requirements to implement operations security and risk management procedures, including geographically dispersed staff; resilient and redundant communications; force protection; identity management; and personnel accountability to protect continuity programs, facilities, networks, information, personnel, and plans from a broad spectrum of threats.
- (12) Integrating the COOP program with the required emergency management program(s), as applicable.
- (13) Addressing how the Field Element will identify and transfer organizational command and control, as well as responsibility for performing essential functions, if applicable, to personnel at a geographically dispersed location unaffected by the incident.
- (14) Ensuring a COOP plan and procedures, encompassing all the Field Element's facilities, are prepared, reviewed annually, and updated, as necessary, and are integrated with the overall Field Element emergency preparedness program.
- (15) Providing an electronic copy of the approved COOP plan(s) to the appropriate higher-echelon Headquarters Office and to the Office of Continuity Programs.
- (16) Ensuring infectious disease/pandemic planning is taken into consideration during the development and maintenance of Field Element COOP plans. Coordinate with the DOE Office of Environment, Health, Safety, and Security (AU) and review the *Department of Energy Headquarters Pandemic Response Plan* for additional input.
- (17) Ensuring COOP plans address cyber-attacks that may affect the Department in the performance of its mission.

- (18) Ensuring integration of appropriate Strategic Partnership Projects (formerly known as Work for Others [Non-Department of Energy Funded Work]) with the development and maintenance of the COOP plans.
- (19) Develop a process to submit a CSR form to the Office of Continuity Programs during a change of continuity status, including FEMA-directed COGCON changes, a continuity incident, and/or COOP plan activation.
- (20) Notifying the Office of Continuity Programs or the DOE Headquarters Consolidated Emergency Operations Center (CEOC) as soon as possible following the declaration of a continuity event using the CSR submission process, for those Field Elements supporting MEFs and PMEFs.
- (21) Conducting program evaluations commensurate with the complexity of the Field Element's continuity program in accordance with paragraph 1.b. of this Appendix (Continuous Improvement Program). Complete CRARs and submit to the higher-echelon Headquarters Office and the Office of Continuity Programs.
- (22) Reviewing and approving CRARs covering facilities under their supervision; submitting reports to the Headquarters Office and the Office of Continuity Programs.
- (23) Ensuring incorporation of appropriate and effective measures for supporting the Field Element's COOP programs in contractual arrangements.
- (24) Activating the Field Element's ERG to oversee continuity operations at the appropriate location for those Field Elements supporting MEFs and PMEFs.
- (25) Ensuring Field Elements supporting MEFs and PMEFs provide situation reports to their respective Headquarters Program Office, the Office of Continuity Programs, and the Headquarters CEOC, as requested during continuity activations.
- (26) Participating in the development of a comprehensive COOP program for Field Elements with contractors responsible for site or facility operations and activities, which integrates with other local emergency response programs.
- (27) 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 level (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.

- (28) Providing the sites and facilities under their contractor oversight responsibility with:
 - (a) Direction to implement continuity management policy and requirements.
 - (b) Direction in COOP planning and preparedness activities including the Departmental essential functions the contractor supports.
 - (c) Support and assistance during COOP events.
 - (d) Support and assistance in resolving issues and in evaluation of COOP programs.
- (29) Identifying and documenting essential functions, resources, and records for which the Field Element is responsible, or to which it provides support.
- (30) Identifying and documenting the essential functions performed by the Field Element and developing Essential Function Data Sheets consistent with guidance found in FCD-2. The Office of Continuity Programs incorporates data sheets into the biennial revalidation of DOE/NNSA's MEFs and PMEFs.
- (31) Developing a BPA for each DOE/NNSA MEF the Field Element performs. In order to promote uniformity of BPA submissions, Field Elements are highly encouraged to use the Business Process Analysis Data Sheet Template found in FCD-2.
- (32) Coordinating with higher-echelon Headquarters Offices and M&O contractors, as applicable, in performing a documented, biennial review of essential functions.
- (33) Establishing the orders of succession to key positions, consistent with DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version, as applicable, to ensure support to the Secretary, as applicable, and execution of essential functions. NNSA Field Element Managers must also establish the orders of succession to key positions, consistent with SD 150.1A, *Lines of Succession*, or the most current version of the Directive as applicable, to ensure support to the Administrator, as applicable, and execution of essential functions.
- (34) Establishing predetermined delegations of authority for making policy determinations that can take effect upon disruption of normal channels of

direction. This document should provide detail for officials to make key decisions during a continuity event to include:

- (a) Outlining explicitly the authority, including any exceptions to that authority, of an official so designated to exercise organizational direction.
 - (b) Delineating the limits of authority and accountability.
 - (c) Outlining the authority of officials to re-delegate their functions and duties, as appropriate.
 - (d) Defining the circumstances under which delegations of authority take effect and terminate.
 - (e) Incorporating the conditions under which delegations take place; the method of notification; the duration of the delegations; conditions for termination of the delegations; and, any temporal, geographical, or organizational limitations to the authorities granted by the orders of succession or delegations of authorities, including ability to re-delegate authorities.
- (35) Maintaining effective communication systems and protocols with the Office of Continuity Programs, specifically, during continuity events that require relocation of essential personnel and involve or affect facilities.
- (36) Ensuring the ability to communicate with Headquarters Offices from the Field Elements' primary, alternate, and devolution locations to the Headquarters Offices' primary, alternate, and devolution locations, as applicable.
- (37) Ensuring a system or program is established for issuing, testing, and maintaining accountability of GETS cards issued to all ERG and DERG personnel, including:
- (a) Ensuring issuance of GETS cards to ERG and DERG personnel within 90 days of assignment.
 - (b) Providing the total number of cards issued to the Office of Continuity Programs.
 - (a) Testing quarterly by ERG and DERG personnel.
- (38) Ensuring a system or program is established for providing WPS capability to any ERG and DERG personnel provided a mobile device, including:
- (a) Ensuring provision of WPS capability to ERG and DERG personnel within 90 days of assignment.

- (b) Testing quarterly by ERG and DERG personnel.
- (39) Establishing an essential records program in accordance with DOE O 243.1, *Records Management Program*, current version.
 - (40) Developing a procedure that defines the resources, actions, tasks, and data required to manage the technology recovery effort for the Field Element, including the capability to recover essential records, for those Field Elements supporting MEFs and PMEFs.
 - (41) Identifying and establishing local and remote alternate locations, as applicable.
 - (42) Appointing a primary and an alternate COOP Coordinator, responsible for administering the COOP program for the Field Element and serving as the liaison between the Field Element and the Office of Continuity Programs.
 - (a) Inform primary and alternate COOP Coordinators in writing of their continuity roles and responsibilities as specified in the COOP Coordinator Position Description.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate COOP Coordinators.
 - (c) Submit contact information of personnel identified as COOP Coordinators to the Office of Continuity Programs within 15 days of appointment.
 - (43) Appointing a primary and an alternate APOC; responsible for coordinating with DOE HC, IM, NA-MB, Office of Continuity Programs, and COOP Coordinators to quarterly test personnel accountability and alert and notification procedures for all personnel in all Field Elements. Also responsible for providing accountability reports, as requested by DOE HC, NA-MB, or Office of Continuity Programs during drills, tests, exercises, or real-world events. The COOP Coordinator and APOC roles may be served by the same individual.
 - (a) Inform primary and alternate APOCs in writing of their continuity roles and responsibilities.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate APOCs.
 - (c) Submit contact information of personnel identified as APOCs to the Office of Continuity Programs and HC within 15 days of appointment.

- (d) Ensure APOCs have access to system(s) used for accountability in order to generate reports, as applicable.
- (44) Appointing primary and alternate ERG members, as applicable.
- (a) Determine trained personnel necessary to perform essential functions at an alternate location (consider training, security clearances, ability to work under pressure, etc. when selecting personnel).
 - (b) Inform primary and alternate ERG personnel in writing of their continuity roles and responsibilities.
 - (c) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate ERG personnel.
 - (d) Submit contact information of personnel identified as ERG members to the Office of Continuity Programs within 15 days of appointment.
- (45) Appointing primary and alternate DERG members, as applicable.
- (a) Determine trained personnel necessary to perform essential functions at a devolution location. Coordinate with devolution location leadership during the decision-making process (devolution location leadership should consider training, security clearances, ability to work under pressure, etc. when selecting personnel).
 - (b) Inform primary and alternate DERG personnel in writing of their continuity roles and responsibilities.
 - (c) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate DERG personnel.
 - (d) Submit contact information of personnel identified as DERG members to the Office of Continuity Programs and HC within 15 days of appointment.
- (46) Establishing a procedure for the Field Element to document the location, contact information, and well-being of all DOE personnel and contractors (M&O and other than M&O) during a continuity event.
- (47) Ensuring there is an MOA/MOU with the devolution location, if applicable, stating their acceptance of devolution responsibilities, as applicable.
- (48) Conducting a biennial exercise for DERG members, if a devolution site for a Headquarters Office, allowing Headquarters-level counterparts on

the DERG to demonstrate their familiarity with devolution procedures. This exercise may be part of annual continuity exercise (Eagle Horizon) or conducted separately.

- (49) Conducting a biennial exercise for DERG members at the devolution site, if applicable, for the Field Element to demonstrate familiarity with devolution procedures.
 - (50) Certifying, by date and signature, the Field Element participation in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, for those Field Elements supporting MEFs and PMEFs.
 - (51) Ensuring Field Element personnel, M&O contractors, and other than M&O contractors supporting essential functions participate in the COOP TT&E program and COOP awareness training is provided to all personnel.
 - (52) Provide ERG members Field Element-specific ERG training.
 - (53) Collaborate with devolution location(s) to ensure DERG personnel receive function specific training.
 - (54) 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.
 - (55) Coordinating with their higher Headquarters Office to ensure resources are available to implement this Order.
- b. COOP Coordinators. The Department’s COOP Coordinators are responsible for:
- (1) Administering the Continuity Program for their Headquarters Office or Field Element.
 - (2) Briefing their Headquarters Office/Field Element Leadership on all pertinent continuity related information (i.e., Eagle Horizon Exercise information, anticipated COGCON changes, impending real-world events, etc.).
 - (3) Responding to requests for information (RFIs) from Office of Continuity Programs.
 - (4) Reviewing the “Monthly Consolidated Continuity Personnel Roster” (or similar roster if the name of the product changes) on a monthly basis and providing updates as necessary to the Office of Continuity Programs.

- (5) Reviewing “DOE AWARe Quarterly Updates” spreadsheet (or similar roster if the name of the product changes) on at least a quarterly basis and providing updates as necessary to the Office of Continuity Programs.
 - (6) Attending, in person or virtually, monthly COOP Coordinators Meetings, schedule permitting.
 - (7) Completing the COOP Coordinator training as distributed by Office of Continuity Programs within 180-days of distribution or assignment to the position, as applicable.
 - (8) Coordinating with HC, IM, NA-MB, APOCs, and the Office of Continuity Programs to quarterly test personnel accountability and alert and notification procedures for all personnel in all Field Elements.
- c. Field Element ERG. Field Element ERG leadership or support personnel are responsible for:
- (1) Responding for real-world events upon notification of activation through the standard procedures. Personnel should be prepared to respond to respective alternate location with minimal delay.
 - (2) Receiving training, as applicable, at their respective alternate location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (3) Participating in continuity related TT&E events as requested by Department and/or NNSA. These events include GETS/WPS testing, accountability drills, Mid-Year Training events, Eagle Horizon exercises, etc.
- d. Field Element DERG. As applicable, Field Element DERG leadership or support personnel are responsible for:
- (1) Responding for real-world events upon notification of activation through the standard procedures. Personnel should be prepared to respond to their respective devolution location with minimal delay.
 - (2) Receiving training, as applicable, at their respective devolution location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (3) Participating in continuity related TT&E events as requested by Department and/or NNSA. These events include GETS/WPS testing, accountability drills, Mid-Year Training events, Eagle Horizon exercises, etc.

- e. Contracting Officers. Contracting Officers (COs) are responsible for the following:
- (1) For M&O contracts directly performing or supporting DOE/NNSA essential functions: Upon notification by the Head of the Departmental Element or his or her designee, incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. The CO must incorporate the CRD without alteration unless the CRD permits alteration and the CO follows the appropriate process, or unless requirements are tailored per Department of Energy Acquisition Regulation (DEAR) 970.5204-2.
 - (2) For Non-M&O contracts directly performing or supporting DOE/NNSA essential functions: Upon notification by the Head of the Departmental Element or his or her designee, incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. The CO should attempt to incorporate the CRD bilaterally. If unsuccessful, the CO must consult with the Head of the Departmental Element or appropriate program official. The CO must incorporate the CRD without alteration unless following the appropriate process for exemption/equivalency.
 - (3) As applicable, designate and authorize in writing Contracting Officer Representatives (CORs) to perform specific technical or administrative functions consistent with DOE Order 541.1C, *Appointment of Contracting Officers and Contracting Officer Representatives*, or the most current version of the Order.
- f. Accountability Points-of-Contact. APOCs are responsible for:
- (1) Coordinating with HC, IM, NA-MB, COOP Coordinators, and Office of Continuity Programs to quarterly test personnel accountability and alert and notification procedures for all personnel in all Field Elements.
 - (2) Providing accountability reports, as requested by HC, NA-MB, IM, or the Office of Continuity Programs during drills, tests, exercises, or real-world events.

APPENDIX C: REQUIREMENTS FOR THE OFFICE OF EMERGENCY OPERATIONS

This Appendix documents Department of Energy (DOE) Order (O) 150.1B requirements placed upon the Office of Emergency Operations, an office within the National Nuclear Security Administration (NNSA). In addition to meeting the requirements for Headquarters Offices in Appendix A, the Office of Emergency Operations must meet additional requirements contained within this Appendix. The requirements in this Appendix address the role the Office of Emergency Operations must play in enterprise-wide continuity planning for the DOE and NNSA that go beyond the requirements placed on all Headquarters Offices.

This Appendix addresses requirements placed on the Office of Emergency Operations in the areas of Continuity Program Management, Continuity of Operations (COOP) Plan Development, and Communications and Information Systems. This Appendix also provides a list of the Roles and Responsibilities of leadership within the Office of Emergency Operations, including the Director of the Office of Continuity Programs. This Appendix also contains instructions regarding classification and controlled unclassified information review.

1. CONTINUITY PROGRAM REQUIREMENTS SPECIFIC TO THE OFFICE OF CONTINUITY PROGRAMS.
 - a. Program Management. The Office of Continuity Programs will act as the Department's primary action office responsible for coordinating with continuity programs across the DOE/NNSA enterprise and will work with the Federal Emergency Management Agency (FEMA), the National Security Council (NSC), and other entities responsible for leading continuity program requirements for the Federal Government. As a result of the Office of Continuity Programs' role as a conduit to convey Federal Government requirements across all Departmental Elements, the Office of Continuity Programs shall:
 - (1) Address all the Continuity Capability Elements and meet the requirements as listed in Federal Continuity Directive 1 (FCD-1), Federal Executive Branch National Continuity Program and Requirements; and FCD-2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process in the Office of Continuity Programs' products and policies.
 - (2) Develop plans and processes to promote the ability of Headquarters and Field Elements to communicate with one another from their primary, alternate, and devolution locations.
 - (3) Provide forums for individuals responsible for administering COOP programs from all Departmental Elements to coordinate and share information with one another.

- (4) Review and revalidate overarching DOE Primary Mission Essential Functions (PMEFs) and Mission Essential Functions (MEFs) biennially and ensure incorporation of any identified changes into continuity plans at all levels of the Department. Solicit and review input from all Departmental Elements during the revalidation process. Once the Office of Continuity Programs completes the PME/MEF Revalidation Package, submit the package to the Interagency Board, through FEMA, as requested.
- (5) Develop a DOE enterprise-wide Business Process Analysis (BPA) addressing each of DOE/NNSA's MEFs and PMEFs.
 - (a) The Office of Continuity Programs will derive the enterprise-wide BPA from input provided by all Departmental Elements which support a MEF or a PME/MEF.
 - (b) The Office of Continuity Programs will biennially review BPA documentation.
- (6) Coordinate with Headquarters Offices to address how DOE Headquarters and leadership will identify and transfer organizational command and control, as well as responsibility for performing essential functions, to personnel at a geographically dispersed location unaffected by the incident. Additional devolution requirements include:
 - (a) Work in conjunction with the Office of Intelligence and Counterintelligence (IN), as applicable, to manage communications, facility, logistical, and other issues at DOE Headquarters' primary devolution site.
 - (b) Manage communications assets related to Office of Science and Technology Policy (OSTP)/Office of Management and Budget (OMB) Directive 16-1, *Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities*, at devolution facilities requiring D-16-1 communications capabilities.
 - (c) Develop a Memorandum of Agreement/Memorandum of Understanding (MOA/MOU) between the DOE Headquarters and the devolution partner to ensure common understanding of what responsibilities are devolving.
 - (d) Share BPAs and any other applicable information regarding essential functions to assist the devolution partner in understanding how to perform any functions transferred.
 - (e) Share information related to contracts, personnel, facilities, essential records, and other material necessary for the devolution

partner to effectively execute its role in performing command and control responsibilities.

- (f) Assist in training of Devolution Emergency Relocation Group (DERG) personnel to perform any functions transferred.
- (7) Identify continuity budgetary requirements and provide adequate funding to:
- (a) Establish and maintain a viable continuity program.
 - (b) Acquire and maintain resources, equipment, and supplies necessary to sustain operations and personnel at alternate locations for a minimum of 30 days.
 - (c) Establish techniques and procedures to streamline standard acquisition processes and support emergency acquisitions of equipment, supplies, services, and personnel to support continuity operations.
 - (d) Integrate continuity funding and acquisition requirements into existing and future contracts and MOAs/MOUs, as applicable, to ensure the continuation of MEFs.
 - (e) Integrate continuity funding and acquisition requirements into annual tasks and objectives, performance metrics, and mandatory reporting.
- (8) Implement Operations Security (OPSEC) and risk management procedures, including geographically dispersed staff; resilient and redundant communications; force protection; identity management; and personnel accountability to protect continuity programs, facilities, networks, information, personnel, and plans from a broad spectrum of threats. Additional risk management requirements include:
- (a) Complete an initial, biennial and, in the case of emerging threats, an as needed Business Impact Analysis (BIA) addressing enterprise-wide PMEFs and MEFs. The BIA is used in identifying, analyzing, assessing, and prioritizing risks to continuity and threats capable of impacting essential functions.
 - (b) Produce a risk matrix showing known or potential risks, measuring the probability of risk-event occurrence, and illustrating the severity of impact should an event be realized.
 - (c) Identify appropriate risk mitigation strategies and threat countermeasures, including:

and alert and notification procedures for all personnel in all Departmental Elements.

- a Process requests from Headquarters Offices, Field Elements, and contractors for exemption from participating in quarterly personnel accountability drills.
 - b Submit recommendations for how to adjudicate exemption requests to the Associate Administrator and Deputy Under Secretary for Emergency Operations
 - 2 Coordinate with the Department’s Essential Records Manager and DOE IM to annually test recovery strategies for essential records, critical information systems, services, and data.
 - 3 Coordinate with the Department’s Essential Records Manager and the DOE IM to annually test capabilities for protecting essential records and information systems, and for providing access to them from alternate locations.
 - 4 Coordinate with DOE IN, the Office of Consolidated Emergency Operations Center (CEOC), and with personnel at the Department’s devolution site to quarterly test internal and external interoperability and viability of primary and contingency communications and information technology systems.
 - 5 Coordinate with the Office of Management (MA) to annually test primary and backup infrastructure systems and services, such as power, water, and fuel at alternate operating facilities.
 - 6 Coordinate with DOE IM to annually test telework capabilities, to include information technology (IT) infrastructure required to support telework options during a continuity activation.
- (c) Training. The Office of Continuity Programs oversees the Department’s training program with respect to activities associated with continuity planning. The Office of Continuity Programs will:
- 1 Provide documentation of all training given or received.

- 2 Develop and provide annual continuity awareness briefings for all Department employees, new personnel as they onboard, Management and Operating (M&O) contractors, and other than M&O contractors supporting mission critical activities.
- 3 Develop and document minimum training requirements for appointed COOP Coordinators and ERG and DERG members in order to provide the personnel with at least minimum levels of competency in each of the assigned roles.
- 4 Provide continuity training within 90 days of appointment to all COOP Coordinators and ERG and DERG members, and track currency of appointed members quarterly by coordinating with appropriate Headquarters Offices, Field Elements, and/or M&O contractors.
- 5 Provide annual training on roles and responsibilities for all ERG and DERG personnel, including government and contractor personnel, assigned to activate, support, and sustain continuity operations. The training must include:
 - a Organization continuity plans that involve using or relocating to alternate locations or other work arrangements such as telework.
 - b Reconstitution plans and procedures to resume normal operations at a primary operating facility or a replacement primary operating facility.
 - c Communications and IT system planning necessary to support or sustain continuity operations.
 - d How to identify, protect, and make available electronic and hardcopy essential records, documents, references, records, information systems, and data management software and equipment needed to support or sustain continuity operations.
- 6 Provide annual training on roles and responsibilities for personnel, including government and contractor personnel, assigned to activate, support, and sustain devolution operations. The training must include:

- a The Department’s devolution plans, processes, and procedures.
 - b Communications and IT systems that will be used during devolution operations.
 - c Identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support devolved essential functions during devolution operations.
 - d How all Departmental Elements identify and perform/support essential functions during an increased threat situation or in the aftermath of a catastrophic emergency that activates the devolution plan.
 - 7 Provide annual training for leadership on its essential functions, succession, continuity communications, and deployment requirements.
 - 8 Provide annual training for all organization and sub-component personnel designated within the orders of succession for the organization head and other key positions who assume the authority and responsibility of the organization’s leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity activation.
 - 9 Provide annual training for those officials listed within the delegations of authority on all pre-delegated authorities, including limitations, conditions, and restrictions that have been delegated.
- (d) Exercises. The Office of Continuity Programs oversees the Department’s exercise program with respect to activities associated with continuity planning. The Office of Continuity Programs will:
- 1 Develop and document an exercise plan that includes a cycle of events that incorporates evaluations, After Action Reports (AARs), and lessons learned into the development and implementation of an Improvement Plan (IP).
 - 2 Develop and conduct an annual exercise for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to validate the Department’s

capability to continue its essential functions. The exercise must:

- a Include the deliberate and preplanned movement of ERG members to an alternate operating facility, as applicable.
 - b Test and validate intra- and interagency communications capabilities.
 - c Verify that data and records required to support essential functions at alternate locations are thorough, current, and accessible to ERG and DERG personnel.
 - d Maintain situational awareness and outreach with internal and external interdependencies identified in the Department's continuity plan with respect to performance of the essential functions.
 - e Demonstrate capability to continue essential functions from telework sites, if used as a continuity strategy, to include accessing and using records, communications, and systems.
- 3 Conduct, at minimum, a biennial exercise for DERG members to demonstrate their familiarity with devolution procedures. This exercise may be part of the annual continuity exercise (Eagle Horizon) or it may be conducted separately. The exercise must:
 - a Familiarize DERG personnel with devolution plans, processes, and procedures.
 - b Familiarize DERG personnel with reconstitution plans and procedures for returning to the original primary operating facility or replacement primary operating facility.
- 4 Conduct a biennial exercise for ERG personnel to demonstrate their familiarity with reconstitution procedures for transition from a continuity environment to normal operations, when appropriate.
- 5 Participate in the annual FEMA sponsored Eagle Horizon exercises, as directed by the Department's Continuity Coordinator.

- (11) Submit Quick Look and Continuity Status Reporting Form (QL/CSR) to FEMA National Continuity Programs (NCP) each month, in response to a Continuity of Government Readiness Conditions (COGCON) change, during continuity events, or as otherwise directed.
- (12) Address Continuous Improvement Program requirements found in paragraph 1.b. below.

b. Continuous Improvement Program. The Office of Continuity Programs shall:

- (1) Develop and submit the Federal Continuity Assessment Tool (FCAT) report to FEMA NCP during the last month of each quarter. The FCAT is a tool enabling DOE to make qualitative and quantitative assessments of the Department's continuity program and capabilities in the areas of planning, organization, equipment, training, and exercise efforts. The tool provides the Office of Continuity Programs the ability to track the progress of continuous improvement efforts on an ongoing basis.
- (2) Create a continuity-focused Enterprise Continuity Program Strategy that guides the development, maintenance, and annual review of continuity capabilities, including, at a minimum:
 - (a) Short-term (1-year) and long-term (5-year) planning goals and objectives.
 - (b) Potential program implementation issues, concerns, and obstacles, and a strategy to address each.
 - (c) Planning, training, and exercise milestones and activities.
 - (d) Audit continuity plans at the Headquarters Office level on a 5-year cycle and annually track continuity TT&E activities.
 - (e) Establish a Corrective Action Program (CAP) to ensure continuous program improvement.
- (3) Conduct occasional announced and unannounced tests and evaluations of government continuity plans across the Department to ensure operable continuity capabilities in coordination with the cognizant DOE/NNSA Program Office.
- (4) Review Continuity Readiness Assurance Reports (CRARs) from each Departmental Element. CRARs are due to the Office of Continuity Programs by November 30 each year.
- (5) Submit an annual status report summarizing CRARs to the Deputy Secretary by April 30 each year.

2. COOP PLAN DEVELOPMENT REQUIREMENTS FOR THE OFFICE OF CONTINUITY PROGRAMS.

- a. The Office of Continuity Programs is responsible for assisting in the development and maintenance of the following plans:
 - (1) The DOE Continuity Plan.
 - (2) The COOP plans for the:
 - (a) Office of the Secretary of Energy.
 - (b) Office of the Deputy Secretary of Energy.
 - (c) Office of the Under Secretary.
 - (d) Office of the Under Secretary for Science.
 - (e) Office of the Under Secretary for Nuclear Security and Administrator, NNSA.
- b. The Office of Continuity Programs is to provide the following coordination activities related to COOP plan development and maintenance:
 - (1) Solicit and address input from all Departmental Elements, as applicable, in developing the DOE Continuity Plan.
 - (2) Coordinate with and incorporate the feedback from those offices for which the Office of Continuity Programs develops COOP plans (i.e., the Deputy Secretary and Under Secretaries).
 - (3) Provide subject matter expertise, consultation, mentoring, and/or plan reviews to any Departmental Element requesting assistance in developing their COOP plan.
 - (4) Develop templates for Headquarters Offices and Field Elements to use as guides in developing their respective COOP plans and other applicable continuity-related documentation.

3. COMMUNICATIONS AND INFORMATION SYSTEMS REQUIREMENTS FOR THE OFFICE OF CONTINUITY PROGRAMS.

- a. Coordinating with DOE/NNSA offices to plan, implement, and administer the logistics of the communications requirements established by OSTP/OMB D-16-1.
- b. Overseeing compliance with the Department's continuity testing of communications systems supporting PMEFs, MEFs, and other continuity requirements.

- c. Providing annual training for communications and information systems planning necessary to support or sustain continuity operations.
- d. Identifying and coordinating procurement of the minimum continuity communications capabilities at officially designated DOE alternate locations and IT disaster recovery sites, with DOE IM.
- e. Participating in established monthly DOE/NNSA intra-agency communications testing from primary, alternate, and devolution locations.
- f. Conducting and documenting operational tests of communications systems to ensure availability at primary and alternate facilities, to include devolution locations as required.
- g. Coordinating all DOE ERG and DERG members testing of Government Emergency Telecommunications Service (GETS) and Wireless Priority Service (WPS) on a quarterly basis.
- h. Validating the operation of continuity communication capabilities during continuity exercises.
- i. Coordinating with owners of Top Secret/Sensitive Compartmented Information (TS/SCI) communications systems to facilitate access for designated personnel to utilize classified communications capabilities, as necessary.

4. ROLES AND RESPONSIBILITIES FOR THE OFFICE OF EMERGENCY OPERATIONS.

- a. Associate Administrator and Deputy Under Secretary for Emergency Operations.
The Associate Administrator and Deputy Under Secretary for Emergency Operations is responsible for:
 - (1) Serving as the Department's Continuity Coordinator.
 - (2) Maintaining all policy, requirements, and guidance for the COOP program.
 - (3) Appointing a Continuity Program Manager (Director, Office of Continuity Programs).
 - (4) Serving as a budget and staffing advocate for the Continuity program.
 - (5) Ensuring the Continuity Program provides a comprehensive and integrated approach to continuity planning, preparedness, response, and reconstitution.
 - (6) Reviewing and concurring on the NNSA Continuity of Operations Plan.

- (7) Reviewing and concurring on the DOE Continuity Plan.
 - (8) Reviewing and adjudicating requests from Headquarters Offices, Field Elements, and contractors to be exempt from quarterly personnel accountability drills.
 - (9) Serving as a member of the ERG.
- b. Director, Office of Emergency Management Policy. The Director, Office of Emergency Management Policy is responsible for:
- (1) Providing policy development information and guidance to the Office of Continuity Programs, as requested.
 - (2) Maintaining a trained cadre capable of supporting continuity of operations functions in order to provide required technical planning assistance and capabilities.
 - (3) Serving as a member of the ERG.
- c. Director, Office of Emergency Management Programs. The Director, Office of Emergency Management Programs is responsible for:
- (1) Providing assistance in development of COOP related exercises, such as Eagle Horizon.
 - (2) Maintaining a trained cadre capable of supporting continuity of operations functions in order to provide required technical planning assistance and capabilities.
 - (3) Serving as a member of the ERG.
- d. Director, Office of Continuity Programs. The Director, Office of Continuity Programs is responsible for:
- (1) Serving as the Continuity Program Manager.
 - (2) Managing day-to-day operation of the Office of Continuity Programs.
 - (3) Developing and maintaining the Department's Continuity Program Strategy.
 - (4) Coordinating all continuity intra- and inter-Departmental commitments, exercise, and activation activities.
 - (5) Developing and implementing a Continuity of Government (COG) program, as delineated in Presidential Policy Directive 40 (PPD-40), *National Continuity Policy*.

- (6) Managing all Departmental COG planning, preparedness, training, and exercises.
- (7) Implementing OPSEC and other risk management procedures.
- (8) Developing and implementing the Departmental Continuity Program:
 - (a) Documenting the COOP program in the DOE Continuity Plan.
 - (b) Performing a documented review of the DOE Continuity Plan annually.
 - (c) Submitting substantive changes to the DOE Continuity Plan for the Secretary's approval, as deemed necessary.
 - (d) Complying with PPD-40, FCD-1, FCD-2, Federal Mission Resilience Strategy (FMRS), Executive Order 13961, *Governance and Integration of Federal Mission Resilience*, and this Order.
- (9) Developing and coordinating all DOE and NNSA continuity policy, requirements, and guidance.
- (10) Ensuring all COOP Coordinators are aware of the key tenets of the FMRS, including the “assess, distribute, sustain planning model” in order to incorporate it in COOP Plans.
- (11) Representing the Department to the interagency continuity community and applicable working groups.
- (12) Keeping all COOP Coordinators apprised of Department and interagency continuity activities.
- (13) Incorporating NA-MB guidance on continuity as provided when developing the Department's continuity budget.
- (14) Ensuring the DOE Continuity Plan and procedures are coordinated with the Headquarters Occupant Emergency Plan, the Director, Office of Emergency Operations Policy, who is responsible for emergency management policy, and the Director, CEOC, who is responsible for emergency operations.
- (15) Ensuring activation of the ERG if the CEOC/Alternate Operations Center (AOC) is unable to send alert and notification message.
- (16) Submitting QL/CSRs to FEMA NCP each month, in response to a COGCON change, during continuity events, or as otherwise directed.
- (17) Submitting FCAT reports to FEMA quarterly.

- (18) Ensuring the Office of Continuity Programs audits each Headquarters Office COOP Plan once every 5 years.
- (19) Ensuring the Office of Continuity Programs, or another technically qualified entity knowledgeable in the areas to be assessed and not directly involved with the development of that continuity program, reviews each Field Element Continuity Program once every 3 years, in coordination with the cognizant DOE/NNSA Program Office.
- (20) Providing an annual status report to the Deputy Secretary on Departmental continuity readiness assurance.
- (21) Establishing and reviewing the Departmental essential functions in accordance with the requirements of FCD-2, based on Headquarters Office/ Field Element input, as applicable.
- (22) Ensuring Headquarters Office COOP plans are established and maintained for the execution of all essential functions in accordance with Appendix A of this Order.
- (23) Ensuring maintenance of the Order of Succession to the Secretary of Energy through updates to DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version.
- (24) Ensuring maintenance of the Order of Succession to the Under Secretary for Nuclear Security and Administrator, NNSA through updates to with NNSA Supplemental Directive (SD) 150.1A, *Lines of Succession*, or the most current version of the Directive.
- (25) Establishing procedures for notifying personnel upon activation of the DOE Continuity Plan or subordinate Headquarters Office COOP plans if the CEOC/AOC is unable to send alert and notification message.
- (26) Initiating internal notification to organizational leadership, COOP Coordinators, and others as necessary to provide direction relating to changes in COGCON levels or Continuity plan activation if the CEOC/AOC is unable to send alert and notification message.
- (27) Developing COOP, devolution, and communications plans and processes to promote the ability of Headquarters Offices and Field Elements to communicate with one another from their primary, alternate, and devolution locations.
- (28) Establishing procedures to meet the requirements of continuity communications capabilities established in OSTP/OMB D-16-1 at Headquarters and the NNSA Albuquerque Complex.

- (29) Ensuring other continuity communications requirements are met, including:
 - (a) Coordinating with DOE/NNSA offices to plan, implement, and administer the logistics of the communications requirements established by OSTP/OMB D-16-1.
 - (b) Overseeing compliance with the Department's testing of continuity communications systems supporting PMEFs, MEFs, and other continuity requirements.
 - (c) Providing annual training for communications and information systems planning necessary to support or sustain continuity operations.
 - (d) Identifying and coordinating with DOE IM for procurement of the minimum continuity communications capabilities at all alternate locations, including devolution locations.
 - (e) Participating in established monthly DOE/NNSA intra-agency communications testing from primary, alternate, and devolution locations.
 - (f) Conducting operational tests of communications systems to ensure availability at primary and alternate facilities, to include devolution locations, as required.
 - (g) Coordinating all DOE ERG and DERG members quarterly testing of GETS and WPS.
 - (h) Validating the operation of continuity communication capabilities during continuity exercises.
- (30) Establishing an essential records program in accordance with DOE O 243.1, *Records Management Program*, current version.
- (31) Activating the continuity facility and serving as Continuity Operations Team (COT) Director, as necessary.
- (32) Coordinating with the Continuity Coordination Group, when activated, to maintain situational awareness of the status of DOE PMEFs, MEFs, and Essential Supporting Activities (ESAs).
- (33) Ensuring alternate locations are established and maintained, as needed.
- (34) Providing up-to-date continuity point of contact information to the FEMA Operations Center.

- (35) Coordinating quarterly testing of the DOE automated alert and notification system with DOE HC, DOE IM, NA-MB, COOP Coordinators, and APOCs.
- (36) Reviewing requests from Headquarters Offices, Field Elements, and contractors to be exempt from quarterly personnel accountability drills and making adjudication recommendations to the Associate Administrator and Deputy Under Secretary for Emergency Operations.
- (37) Coordinating with the Department’s Essential Records Manager and DOE IM to annually test recovery strategies for essential records, critical information systems, services, and data.
- (38) Coordinating with the Department’s Essential Records Manager and DOE IM to annually test capabilities for protecting essential records and information systems and for providing access to them from alternate locations.
- (39) Coordinating with the DOE IN and with personnel at the Department’s devolution site to quarterly test internal and external interoperability and viability of primary and contingency communications and information technology systems.
- (40) Coordinating with DOE IM to annually test telework capabilities, to include IT infrastructure required to support telework options during a continuity activation.
- (41) Coordinating with DOE MA to annually test primary and backup infrastructure systems and services, such as power, water, and fuel at alternate operating facilities.
- (42) Coordinating with Sandia Field Office to document annual testing of primary and backup infrastructure systems and services, such as power, water, and fuel at devolution location.
- (43) Developing and making COOP awareness training available for the Department’s personnel.
- (44) Establishing a continuity TT&E program to verify continuity capabilities.
- (45) Validating Departmental readiness through regularly scheduled internal and interagency tests and exercises.
- (46) Establishing a CAP to ensure continuous program improvement.
- (47) Ensuring training of officials in the Secretarial Order of Succession to participate in and carry out their response duties during continuity exercises and real-world events.

- (48) Ensuring training of NNSA officials in the Line of Succession to the Administrator to participate in and carry out their response duties during continuity exercises and real-world events.
 - (49) Assisting DOE MA in maintaining [General Services Administration Standard Form \(SF\) 2050, Reconstitution Questionnaire](#).
- e. Director, Office of Consolidated Emergency Operations Center. The Director, CEOC is responsible for:
- (1) Providing emergency operations support for COOP planning, preparedness, and implementation.
 - (2) Maintaining an AOC capable of assuming the duties of the CEOC in a continuity event.
 - (3) Activating the ERG.
 - (a) The CEOC publishes the notification message via the alert and notification system to designated Headquarters and Field personnel.
 - (b) Only personnel identified by each Headquarters Office or Field Element as having COOP responsibilities receive the notification.
 - (4) Establishing procedures, in coordination with Office of Continuity Programs, for notifying personnel upon activation of the DOE Continuity Plan or subordinate Headquarters Office COOP plans.
 - (5) Tracking Secretarial successors in accordance with DOE O 100.1, *Secretarial Succession, Threat Level Notification, and Successor Tracking*, current version, and making successor status information available to the Office of Continuity Programs.
 - (6) Tracking successors to the Administrator in accordance with NNSA SD 150.1A, *Lines of Succession*, or the most current version of the Directive, and making successor status information available to the Office of Continuity Programs.
 - (7) Ensuring quarterly testing of the Headquarters and alternate location communications equipment identified in OSTP/OMB D-16-1 that is under the operational control of the CEOC.
 - (8) Establishing the Transportation and Emergency Control Center (TECC) in Albuquerque, NM, as backup to the Headquarters Watch Office, and training TECC duty personnel to accomplish Headquarters Watch Office tasks.

**ATTACHMENT 1:
CONTRACTOR REQUIREMENTS DOCUMENT
DOE O 150.1B, *CONTINUITY PROGRAMS***

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this Contractor Requirements Document (CRD). For the purposes of this CRD, the term contractor (unless otherwise noted) includes Management and Operating (M&O) contractors and other than M&O contractors supporting or performing Department of Energy (DOE) and/or National Nuclear Security Administration (NNSA) essential functions. 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.

Contractors that do not directly perform or support DOE/NNSA Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), or associated Essential Supporting Activities (ESAs)—as documented in the biennial PMEF/MEF Revalidation Package or Enterprise-wide Business Process Analysis (BPA)—are subject to a reduced set of requirements. This Attachment 1 notes those requirements that do not apply to contractors that do not directly perform or support DOE/NNSA PMEFs, MEFs, and ESAs.

In addition to the requirements set forth in this CRD, contractors are responsible for complying with Attachments 2 and 3 to DOE Order (O) 150.1B, referenced in and made a part of this CRD, which provide information applicable to contracts in which this CRD is inserted.

1. This CRD does not invoke any DOE technical standards or industry standards as required methods. Any technical standard or industry standard that is mentioned in or referenced by this CRD is not invoked by this CRD. Note: DOE O 251.1D, Appendix J provides a definition for “invoked technical standard.”
2. It is DOE policy to maintain a comprehensive and effective continuity capability consisting of Continuity of Operations (COOP) and Continuity of Government (COG) programs, therefore:
 - a. DOE (also referred to as “the Department”) has established the Office of Continuity Programs, an operational entity responsible for developing; documenting; implementing; and executing, on a day-to-day basis, an overarching DOE continuity program. The Office of Continuity Programs supports all levels of the Department, including contractors, prior to, during, and following a continuity event.
 - b. All contractors, regardless of location and function, must maintain documented continuity capabilities commensurate with their role in performing or supporting DOE/NNSA PMEFs, MEFs, and ESAs, as applicable.
 - c. The contractor must avoid creation of new or redundant programs when requirements herein, if applicable, can be satisfied through, or integrated with, existing DOE or contractor programs.

- d. The requirements in this CRD shall be synchronized with applicable requirements found in DOE O 151.1, *Comprehensive Emergency Management System*, current version, to produce a framework for control, direction, and interoperability of all Departmental activities, including contractor activities, imperative to the continuous performance of MEFs of DOE/NNSA.
 - e. Contractors shall integrate applicable continuity requirements and capabilities to ensure:
 - (1) Readiness, resilience, and alignment of all continuity program elements.
 - (2) Incorporation of risk management principles, as outlined in Federal Continuity Directive 2 (FCD-2), Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process, including identification and assessment of potential threats and hazards and their associated impacts; determination of acceptable risk; and identification of required mitigation resources.
 - (3) Support to DOE/NNSA efforts in the identification of collective or interdependent Federal Government; State, local, territorial, and tribal governments; nongovernmental organizations; and private sector owners and operators of critical infrastructure in order to ensure comprehensive and integrated continuity programs that enhance the integrity of the Nation's national security posture while enabling a more rapid and effective response to and recovery from a catastrophic emergency.
 - (4) Support for Essential Functions of other Federal Agencies through Strategic Partnership Projects is identified and addressed at the Department's facilities, as applicable. DOE O 481.1, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version, provides additional information regarding Strategic Partnership Projects.
3. This CRD sets forth the requirements associated with continuity programs and COOP planning. However, the Office of Continuity Programs recognizes that each individual contractor may have unique operating realities, which are not universal across all Field Elements and contractors. In order for Field Element Managers to address the operating requirements specific to each contractor's role in supporting the Department's PMEFs, MEFs, and ESAs, they may seek an equivalency or exemption that will meet the specific operating realities of their site, so long as the contractor meets the underlying requirements contained in Federal Continuity Directives and this CRD.

4. In developing their continuity program, contractors must comply with the following Continuity Program Objectives and Requirements:
 - a. Address the following Program Objectives:
 - (1) Sustain operations and essential functions critical to performance of DOE/NNSA identified PMEFs, MEFs, and ESAs, which are henceforth referred to as DOE/NNSA essential functions.
 - (2) Identify and dedicate the resources required to sustain DOE/NNSA essential functions that the contractor performs or supports.
 - (3) Reduce loss of life and mitigate threats to property.
 - (4) Incorporate risk management principles outlined in FCD-2, including identification and assessment of potential threats and hazards, and their associated impacts; acceptable risk determination; and identification of required mitigation resources. A documented Threat and Hazard Identification and Risk Assessment (THIRA) may also be used to comply with this requirement.
 - (5) Establish any applicable orders of succession and delegations of authority to ensure sequential assumption of legal authorities and responsibilities by holders of other specified positions within the organization.
 - (6) Reduce or mitigate operational disruptions to any DOE/NNSA essential functions that the contractor performs or supports, as feasible.
 - (7) Work with the cognizant Field Element or Headquarters Program Office to identify, maintain, and operate alternate locations from which organizations can perform their DOE/NNSA essential functions, if applicable.
 - (8) Protect personnel, alternate locations, equipment, essential records, and other assets critical to the performance of any DOE/NNSA essential functions that the contractor performs or supports.
 - (9) Provide for recovery during reconstitution.
 - b. Address the following Program Requirements:
 - (1) Include all applicable Continuity Capability Elements and meet applicable requirements and guidance as listed in FCD-1, Federal Executive Branch National Continuity Program and Requirements, and FCD-2.
 - (2) Provide personnel accountability reports (including initial reports and updates, if applicable) to the Field Element Site Office to transmit to the DOE Office of the Chief Human Capital Officer (HC) upon request. In

addition, contractors supporting NNSA Elements will also provide the information to the Field Element Site Office to transmit to NNSA's Management and Budget (NA-MB) office. Additional personnel accountability requirements for contractors include:

- (a) Provide the Field Element Site Office, HC, and the Office of Continuity Programs with the contractor's name and contact information for the Accountability Point(s)-of-Contact (APOC).
- (b) Identify, document, and execute a process to account for all personnel supporting DOE in the following conditions:
 - 1 Contractors will account for continuity personnel and alternates supporting DOE PMEFs, MEFs, ESAs, or other essential functions, within 12 hours of activation during real-world events.
 - 2 Contractors will account for all other employees supporting DOE within the affected area within 5 days after activating an organization's continuity plan during real-world events.
 - 3 Contractors will account for all employees supporting DOE (not limited to continuity personnel) during accountability drills and other exercises.
- (c) Work with the Field Element Site Office to address any additional guidance for the accountability process as released by the DOE HC and/or the Office of Continuity Programs.
- (d) Contractors will participate in quarterly accountability drills conducted by the DOE HC and the Office of Continuity Programs.
 - 1 Contractors can submit a request for an exemption from participating in a quarterly drill on an as needed basis.
 - 2 Requests are to be submitted in writing to the Director, Office of Continuity Programs. Exemptions will be considered and granted, as appropriate, by the Associate Administrator and Deputy Under Secretary for Emergency Operations.
- (3) Ensure the ability to communicate with relevant Headquarters Offices' primary, alternate, and devolution locations.
- (4) Ensure the ability to communicate with Headquarters Offices from the contractor's primary, alternate, and devolution locations.

- (5) Designate a primary and alternate COOP Coordinator tasked to administer the COOP program for the contractor.
- (6) Develop Essential Function Data Sheets for candidate DOE/NNSA MEFs performed/supported at the lab, plant, or site. Contractors will submit Essential Function Data Sheets to the Field Element Site Office for transmittal to the Office of Continuity Programs, who will review the data sheets with the cognizant DOE/NNSA Program Office to determine if they should be incorporated into the biennial revalidation of DOE/NNSA's MEFs and PMEFs.
- (7) Work with the Field Element Site Office and the Office of Continuity Programs biennially to develop a BPA for each DOE/NNSA MEF the contractor performs. In order to promote uniformity of BPA submissions, offices are highly encouraged to use the Business Process Analysis Data Sheet Template found in FCD-2 or the BPA form provided by the Office of Continuity Programs. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (8) Address how the contractor will identify and transfer organizational command and control, as well as responsibility for performing essential functions, if applicable, to the contractor's personnel at a geographically dispersed devolution partner unaffected by the incident. At a minimum, each contractor is to consider whether they can identify a suitable devolution partner who can receive management, supervision, and personnel accountability responsibilities related to providing guidance and direction, addressing contracting issues, accounting for all personnel, coordinating with the Field Office Manager (or DOE/NNSA Headquarters Office, if applicable), retrieving essential records, and beginning the process to address reconstitution. Additional devolution requirements, if applicable, necessitate each contractor perform the following:
 - (a) Develop a Memorandum of Agreement or a Memorandum of Understanding (MOA/MOU) between the contractor and the devolution partner, if applicable, to ensure common understanding of what responsibilities are devolving.
 - (a) Share BPAs and any other applicable information regarding essential functions to assist the devolution partner in understanding what functions the contractor performed at the primary location and how to perform any functions transferred.
 - (b) Share information related to contracts, personnel, facilities, essential records, and other material necessary for the devolution partner to effectively execute its role in performing command and control responsibilities.

- (c) Assist in training Devolution Emergency Response Group (DERG) personnel to perform any functions that the contractor will transfer.
- (9) Submit annual certification memorandum to the Field Element that the contractor maintains a continuity plan and the date the plan was last signed. Subordinate organizations may reference overarching plans that integrate crosscutting continuity/devolution capabilities and responsibilities. The contractor should coordinate with their cognizant Field Element to see whether the annual Continuity Readiness Assurance Report (CRAR) submission will suffice to meet this requirement.
 - (10) Submit annual certification memorandum to the Field Element that the contractor participates in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, as applicable. The contractor should coordinate with their cognizant Field Element to see whether the annual CRAR submission will suffice to meet this requirement.
 - (11) Coordinate with the Field Element to identify continuity requirements that will ensure appropriate and necessary resources are available to meet established regulatory requirements. Resources should be sought to address the following goals, if applicable:
 - (a) Establish and maintain a viable continuity program.
 - (a) Acquire and maintain resources, equipment, and supplies necessary to sustain operations and personnel at alternate locations for a minimum of 30 days, if applicable.
 - (b) Establish techniques and procedures to streamline standard acquisition processes and support emergency acquisitions of equipment, supplies, services, and personnel to support continuity operations.
 - (12) Synchronize efforts with other Departmental and company risk management requirements to implement risk management procedures, including geographically dispersed staff; resilient and redundant communications; force protection; identity management; and personnel accountability to protect continuity programs, facilities, networks, information, personnel, and plans from a broad spectrum of threats. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. Additional risk management requirements include:
 - (a) Complete an initial, biennial and, in the case of emerging threats, an as needed Business Impact Analysis (BIA). The BIA assists in identifying, analyzing, assessing, and prioritizing risks to

continuity and threats capable of affecting essential functions. In order to promote uniformity of BIA efforts, contractors are highly encouraged to follow the BIA process found in Annex D of FCD-2 or subsequent guidance issued by the Office of Continuity Programs.

- (a) Produce a risk matrix showing known or potential risks, measuring the probability of risk-event occurrence, and illustrating the severity of impact should an event be realized. A documented THIRA may also be used to comply with this requirement.
 - (b) Work with the Field Element overseeing the contractor or the cognizant DOE/NNSA Program Office to identify appropriate risk mitigation strategies and threat countermeasures, including:
 - 1 A cost-benefit analysis of risk mitigation and threat-management control measures.
 - 2 For unacceptable risks to the performance of an essential function, develop a plan to address mitigation, management, or control measures intended to reduce the impacts of catastrophic emergencies, including pandemic/infectious disease outbreak.
 - 3 Signature of Acknowledgement of risk by the senior contractor official responsible for continuation of the essential function.
- (13) Maintain records needed for continuity operations as part of an essential records program. The essential records program is to be compliant with DOE O 243.1, *Records Management Program*, current version. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (14) Establish and implement a Test, Training, and Exercise (TT&E) program to ensure Emergency Relocation Group (ERG) and DERG personnel are prepared to perform essential functions at alternate sites, as applicable. If needed, the Office of Continuity Programs is available to support contractors with their TT&E program. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA.
- (15) Provide annual training on roles and responsibilities for personnel assigned to activate, support, and sustain devolution operations, if applicable. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The training must address:

- (a) Contractor's devolution plans, processes, and procedures.
 - (a) Communications and information technology (IT) systems used during devolution operations.
 - (b) Identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software as well as equipment needed to support devolved essential functions during devolution operations.
 - (c) How the contractor performs/supports its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency that activates the devolution plan.
- (16) For contractor sites serving as a devolution location for a Headquarters Office or Field Element, the contractor site must, at a minimum, participate in biennial devolution exercises with Headquarters or Field Element-level counterparts. The intent of the devolution exercises is to familiarize government and contractor DERG members, as applicable, with devolution procedures. This exercise may be part of an annual continuity exercise (such as Eagle Horizon) or conducted separately. The exercise must:
- (a) Familiarize DERG personnel with devolution plans, processes, and procedures.
 - (a) Familiarize DERG personnel with reconstitution plans and procedures for returning to normal operations at an original primary operating facility or at a replacement primary operating facility.
- (17) Conduct a biennial exercise for DERG members at the devolution site of the contractor, if applicable, to maintain familiarity with devolution procedures. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The exercise must:
- (a) Familiarize DERG personnel with devolution plan, processes, and procedures.
 - (b) Familiarize DERG personnel with reconstitution plans and procedures for returning to normal operations at the original primary operating facility or replacement primary operating facility.
 - (c) Develop a process to submit a Continuity Status Reporting Form (CSR) to the Field Element Site Office for transmittal to the Office

of Emergency Operations, or to directly transmit a CSR to the Office of Emergency Operations, during a change of continuity condition, including Federal Emergency Management Agency (FEMA) directed Continuity of Government Readiness Condition (COGCON) changes, a continuity incident, and/or plan activation.

- (18) Develop a methodology/program for continuous improvement of the contractor's continuity program. The methodology/program may be part of another readiness assurance/continuous improvement program. With the exception of annual CRAR submission requirements expected from all labs, plants, and sites, continuous improvement requirements do not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The continuous improvement program consists of the following components:
- (a) Program Evaluations. All contractors are responsible for monitoring and/or ensuring completion of the following items within its own organization:
- 1 Identification of findings (e.g., strengths, improvements, deficiencies) in continuity programs; testing, training, and exercises; plans; and procedures.
 - 2 Conducting evaluations based on the requirements of Presidential Policy Directive (PPD) 40, National Continuity Policy, Office of Science and Technology Policy / Office of Management and Budget Directive 16-1 (OSTP/OMB D-16-1), Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities; FCD-1; FCD-2; and this CRD.
 - 3 Evaluations of the COOP program (these may be combined with other evaluation programs).
 - 4 Continuity Readiness Assurance Report. The CRAR must identify what the goals were for the fiscal year that ended, the degree to which these goals were accomplished, and goals for the next year.
 - a Contractors use the CRAR to document that the contractor location participated in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate site, as applicable, and the date of the exercise.

Each contractor COOP plan should provide the level of detail appropriate to the operating realities of the contractor – meaning, if the contractor does not perform essential functions or has no process to devolve, then those respective sections of the COOP plan should document they have no essential functions nor devolution capabilities. The Continuity Capability Elements to be documented in each COOP plan are listed below:

- (1) Program management, plans, and procedures.
- (2) Essential functions.
- (3) Orders of succession, as applicable.
- (4) Delegations of authority, as applicable.
- (5) Communications and information systems.
- (6) Essential records management.
- (7) Alternate locations.
- (8) Human resources.
- (9) Devolution.
- (10) Reconstitution.
- (11) TT&E.

b. Program Management, Plans, and Procedures. In addition to the requirements of FCD-1, all contractors are to address the following requirements:

- (1) M&O contractors and other contractors essential to supporting continuity of DOE/NNSA MEFs must maintain a continuity capability documented in a COOP plan, or an Annex or Appendix to a parent organization COOP plan, addressing the requirements of this CRD.
- (2) All contractors will ensure their COOP plans are in alignment with the DOE COOP planning structure outlined in the sub-paragraphs below. This structure builds unity of effort across the DOE COOP planning enterprise by directing the alignment of COOP plans from the DOE Continuity Plan through Field Element COOP plans to contractor COOP plans.
 - (a) The DOE Continuity Plan is supported by the collective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, Under Secretary for Nuclear Security, and their respective Headquarters Office and Field Element COOP plans.

- (b) Headquarters Office COOP plans will support and align with the respective COOP plans of the Deputy Secretary of Energy, Under Secretary, Under Secretary for Science, or Under Secretary for Nuclear Security and any subordinate Field Element COOP plans.
 - (c) The Field Element COOP plans will align with and support the respective Deputy- or Under Secretary-level COOP plan, Headquarters Office COOP plan, or other higher-level Field Element COOP plan.
 - (d) The contractor's plans will align with and support the Field Element COOP plan, Headquarters Office, or other higher-level contractor COOP plan, unless the contractors' COOP processes and procedures are included in the aforementioned plans.
- (3) Contractors have flexibility in the format of their plans, provided they meet the requirements of this CRD. Contractors have the flexibility to establish one COOP plan, or multiple COOP plans for the site. The contractor and Field Element Manager can make the determination through collaboration to decide the most effective option.
- (4) All contractors must document an annual review of the COOP plan and associated system-specific plans, (such as Disaster Recovery Plans [DRPs] and Information System Contingency Plans [ISCPs]), if applicable, and revise the plans, as necessary. The review documentation must also record the date of review and names of personnel conducting the review.
- (5) All COOP plans must be approved and signed by the Contractor's Responsible Official.
- (a) The approved and signed COOP plan must be submitted for approval by the appropriate Field Element Manager, or designee.
 - (a) An electronic copy of the final approved plan must be provided to the Field Element Manager, or designee, who is responsible for transmitting the Contractor's COOP plan to the Office of Continuity Programs and other Headquarters Office, as appropriate.
- (6) All COOP plans must identify support for essential functions of other Federal Agencies through Strategic Partnership Projects, as applicable. DOE O 481.1, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version, provides additional information regarding Strategic Partnership Projects.
- (7) Document a decision-support process and define event triggers, including responses, as applicable, to COGCON changes in the National Capital

Region (NCR), DOE Security Condition (SECON) changes, and other local readiness conditions, as applicable. This process should inform timely and accurate COOP plan activation, with and without warning, during duty and non-duty hours.

- (8) Provide procedures for identifying, maintaining, activating, and sustaining alternate locations and the transition of essential functions to continuity personnel, as applicable.
 - (9) Define processes for attaining full operational capability at an alternate location(s), as applicable, as soon as possible, but no later than 12 hours following COOP plan activation, and reporting operational capability. Operational capability reporting must reflect the status of MEFs or ESAs supported by the contractor and/or subcontractors.
 - (10) All COOP plans must define a methodology to ensure that any DOE/NNSA MEFs performed by the contractor can be sustained for a minimum of 30 days following a catastrophic emergency or until normal operations are resumed. The methodology must also address planning for challenges posed by continuity events that extend past 30 days.
 - (11) All COOP plans must list an ERG, consisting of leadership, staff, and functional support elements capable of relocating to alternate locations, as applicable, to support the performance of essential functions.
 - (12) All COOP plans must identify the process to account for all personnel during real-world activations, drills, tests, and exercises.
- c. Essential Functions. In addition to the applicable requirements of FCD-1, the content of each COOP plan must:
- (1) Define which of the Department's PMEFs and/or MEFs the contractor supports, as applicable.
 - (2) Identify, prioritize, and document ESAs, as applicable. These functions remain essential to the Department's overall continued performance of the PMEFs and MEFs.
- d. Orders of Succession. In lieu of meeting the order of succession requirements of FCD-1, the contractor is to document who is authorized to assume leadership or management roles under specific circumstances in order to ensure seamless mission execution.
- e. Delegations of Authority. In lieu of meeting the delegation of authority requirements of FCD-1, the contractor is to document authorizations for successors who are asked to assume leadership or management roles for specified

purposes and to carry out specific duties necessary to ensure seamless mission execution.

- f. Communications and Information Systems. Ensure the COOP plan meets the requirements of paragraph 6 of the CRD (*Communications and Information Systems Requirements*), as applicable.
- g. Essential Records Management. In addition to the requirements of FCD-1, the content of each COOP plan must list, or reference a list, of essential records necessary to support the contractor's performance or support of PMEFs, MEFs, and ESAs in the COOP Plan. The contractor's essential records program must be compliant with DOE O 243.1, *Records Management Program*, current version.
- h. Contractors are to ensure essential records are available and accessible to ERG personnel and DERG personnel at their respective alternate location.
- i. Alternate Locations. In addition to the requirements of FCD-1, the content of each COOP plan must:
 - (1) List the location(s) of the Contractor's COOP relocation site(s) and devolution site(s), as applicable.
 - (a) Identify the MEFs and/or ESAs that can be performed at each alternate location, if applicable.
 - (b) Consider the use of local sites to act as alternate locations to maintain organizational command, control, and accountability when the contractor cannot move essential functions to an alternate location(s) or does not have essential functions.
 - (2) Document the process for activating relocation and devolution sites so personnel at alternate locations are aware their responsibilities. If the facility is owned or occupied by another entity, this information should be included in an MOA/MOU between the contractor and its alternate location(s).
- j. Human Resources. In addition to the requirements of FCD-1, the content of each COOP Plan must:
 - (1) Reference procedures for verifying need to know and seeking appropriate security clearances for ERG and DERG personnel, as applicable, and for providing the training and resources needed to perform their prescribed continuity roles and responsibilities.
 - (2) Reference documentation that clearly defines the expectations, roles, and responsibilities of continuity personnel, including the roles and responsibilities in paragraph 8 of this CRD.

- k. Devolution. In addition to the requirements of FCD-1, the content of each COOP plan must:
- (1) Identify a DERG, as applicable, consisting of personnel necessary to support the performance of organizational command and control, accountability, and essential functions, as applicable, at a devolution site. Ensure the devolution site is aware of all responsibilities when the contractor activates its devolution plan. This information should be included in an MOA/MOU between the devolving organization and the devolution location.
 - (2) Identify devolution partner(s) and the process for transitioning essential functions to devolution personnel, as applicable.
 - (a) Consider locations performing similar functions, as applicable, or their parent corporate office or DOE Headquarters Office as devolution partner(s).
 - (b) Share BPAs and any other applicable information regarding essential functions to assist the devolution partner in understanding how to perform any functions transferred.
 - (c) Share information related to contracts, personnel, facilities, essential records, and other material necessary for the devolution partner to effectively execute its role in performing command and control responsibilities.
 - (d) Assist in training DERG personnel to perform any functions transferred.
 - (3) Define a devolution process for the contractor, as applicable. This process must:
 - (a) Define the devolution partner(s). The devolution partner(s) must agree, in writing, to designation as a devolution partner and be willing to provide DERG personnel, as necessary. If no devolution partner can be selected, then state why it is not possible to define a devolution partner.
 - (b) Include devolution of, at a minimum, command and control and personnel accountability.
 - (c) Include the transfer of all relevant essential records, including BPA documentation.
 - (d) Include devolution of essential functions, if functions can devolve to another location.

1. Reconstitution. In addition to the requirements of FCD-1, the content of each COOP Plan must:
 - (1) Contain a description of the process to request DOE/NNSA funds to reconstitute DOE/NNSA facilities and the contractor's personnel, as applicable, or contain a reference to the existing reconstitution process the contractor already has in place for the site.
 - (2) Address a process to collaborate with the Field Site Office to verify that the contractor is fully capable of accomplishing all essential functions and related operations at the new or restored facility, as applicable.
 - (3) Record information similar to what is included in General Services Administration Standard Form 2050 (SF-2050), *Reconstitution Questionnaire*, and maintain this information with the essential records, unless the contractor has a similar proprietary process/document.

- m. Test, Training, and Exercises. In addition to the requirements of FCD-1, the content of each COOP Plan must include provisions for:
 - (1) Establishing and implementing a TT&E program to ensure ERG and DERG personnel are prepared to perform essential functions at alternate sites, as applicable.
 - (2) Providing annual training on roles and responsibilities for personnel, including contractor personnel, assigned to activate, support, and sustain devolution operations, if applicable. This requirement does not apply to contractors that do not directly perform or support a DOE/NNSA PMEF, MEF, or ESA. The training must include:
 - (a) Contractor devolution plans, processes, and procedures.
 - (b) Communications and IT systems that continuity personnel use during devolution operations.
 - (c) Identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software as well as equipment needed to support devolved essential functions during devolution operations.
 - (d) How the contractor identifies and performs/supports its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency that activates the devolution plan.
 - (e) Conducting an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, for those contractors supporting MEFs and PMEFs.

- (3) Conducting a biennial exercise at the devolution site of the contractor, if applicable, to provide an opportunity for DERG members to conduct devolution procedures and operations. The exercise must be designed to assess:
 - (a) DERG personnel's ability to execute the devolution plan, processes, and procedures.
 - (a) DERG personnel's ability to execute reconstitution plans and procedures for returning to the original primary operating facility or replacement primary operating facility.
6. Communications and Information Systems Requirements for contractors include the following:
 - a. Ensuring availability of communications and information systems with sufficient resilience and contingencies as deemed necessary by the cognizant DOE/NNSA Program Office for the contractor to perform the Program Office's MEFs, immediately or no later than 12 hours after activation, at primary and alternate locations.
 - (1) Systems must support connectivity among key leadership, internal elements, other organizations, and the public under all conditions.
 - (2) Communications capabilities must be interoperable and of sufficient quantity and mode/media to enable redundant and survivable connectivity with essential function partners.
 - b. Ensuring compliance of the contractor's communications and information systems with FCD-1 and OSTP/OMB D-16-1, as applicable.
 - c. Ensuring compliance of the contractor's communications and information systems that interact with DOE/NNSA systems with the following DOE Orders, as applicable:
 - (1) DOE O 200.1, Information Technology Management, current version.
 - (2) DOE O 205.1, Department of Energy Cybersecurity Program, current version.
 - (3) Implementation of communications requirements for continuity events do not supplant other required notifications and reporting delineated under legislation, implementing regulations, DOE Orders, and/or NNSA Supplemental Directives.
 - d. Designating continuity personnel (ERG and DERG) who will require dedicated access to required minimum communications capabilities to ensure continual

support of DOE PMEFs and MEFs and performance of the contractor's ESAs for a minimum of 30 days following continuity activation, to include:

- (1) Ensuring communications capabilities are maintained and continuity personnel have necessary access and are properly trained in their use.
 - (2) Planning accordingly for essential functions that require uninterrupted communications and IT support.
- e. Ensuring organizations that share an alternate location and communications capabilities with other organizations have a signed agreement with the system owner to ensure each has adequate access to communications resources.
 - f. Ensuring risk assessments are conducted on all primary and alternate communications and information systems involved in the performance of essential functions, including associated supply chains and facilities such as data processing centers, using all-source intelligence, and/or other applicable data and coordinated with BIAs for each MEF. Risk assessments should include evaluating each location supporting MEFs to identify and mitigate potential single points of failure in the communications infrastructure.
 - g. Coordinating and integrating communications and information system-specific planning efforts, such as DRPs and ISCPs, with appropriate organizational entities. In particular, DRPs and/or ISCPs are needed for mission critical systems supporting MEFs, ESAs, and associated industrial control systems.
 - h. Coordinating system service levels, including maximum allowable downtime and data back-up frequency requirements, with system owners and ensuring this is reflected in the organization's continuity planning products such as the MEF BPA, DRPs, ISCPs, and/or service level agreements, as applicable.
 - i. If service levels are insufficient to meet communications requirements, this may have to be accepted as a risk for the contractor and the supported DOE/NNSA organization.
 - j. Including Priority Telecommunications Services in continuity communications and information systems planning.
 - (1) Distributing Government Emergency Telecommunications Service (GETS) cards. The COOP Coordinator in each contractor can facilitate requesting GETS cards for identified personnel through DOE's designated point of contact to the Department of Homeland Security (DHS) GETS/Wireless Priority Services (WPS) Information Distribution System (GWIDS).
 - (a) Pre-position at least one GETS card for emergency use at all primary and continuity facility locations.

- (b) Issue GETS cards to all ERG and DERG personnel.
 - (2) Utilizing and activating WPS on cellular phones issued to ERG and DERG personnel. The COOP Coordinator in each contractor can facilitate requesting WPS access for identified personnel through DOE's designated point of contact to DHS GWIDS.
 - (3) Ensuring applicable circuits at primary and alternate locations involved in the performance of MEFs and/or ESAs are enrolled in the Telecommunications Service Priority (TSP) Restoration Program.
 - k. Coordinating with both the Field Element and cognizant DOE/NNSA Program Office in developing communications plan documentation that provides guidance on how internal and external communications will be maintained during a continuity activation.
 - l. Ensuring annual review of communications plans for accuracy to ensure they are fully capable of supporting essential functions. Document the date of review and the names of personnel conducting the review.
7. Classification and Controlled Unclassified Information Review.
- a. All COOP plans and other continuity-related documents must be reviewed for the presence of classified and/or controlled unclassified information, as required by DOE O 475.2, *Identifying Classified Information*, current version; DOE O 471.6, *Information Security*, current version; 32 Code of Federal Regulations (CFR) Part 2001, *Classified National Security Information*; 32 CFR Part 2002, *Controlled Unclassified Information*; and 10 CFR Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*. Documents will be marked and handled in accordance with national requirements; DOE and/or NNSA Orders, Directives, Manuals, and Guides; or other government agency classification guides, as appropriate.
 - b. COOP plans that do not contain classified or Unclassified Controlled Nuclear Information (UCNI) will be marked, handled, and protected as Official Use Only (OUO) in accordance with DOE Manual (M) 471.3, *Manual for Identifying and Protecting Official Use Only Information*, current version, or successor policy.
 - c. Freedom of Information Act (FOIA) exemption 7, which addresses Law Enforcement, may apply to OUO COOP plans.
 - d. Any FOIA requests for release of OUO COOP Plans must be coordinated with the cognizant Field Element and the cognizant Office of the General Counsel.

8. Contractor Roles and Responsibilities.

- a. Contractor Responsible Official. The Contractor's Responsible Official (i.e., the most senior company official at a DOE/NNSA laboratory, plant, or site, such as a M&O Laboratory Director, M&O Site Manager or other than M&O contractor Program Manager/Official, as applicable), or their designee, is responsible for:
- (1) Ensuring the laboratory, plant, or site develops, implements, maintains, and updates, as necessary, a COOP program consistent with this CRD.
 - (2) Coordinating with the Field Element Manager and/or Headquarters Office to determine whether the contractor is to establish the COOP program in conjunction with the Field Element and/or Headquarters Office or as a separate program.
 - (3) Coordinating with the Field Element Manager/Headquarters Office and the Director, Office of Continuity Programs, with questions or issues that need to be resolved in addressing the requirements of this CRD.
 - (4) Identifying all subcontractors supporting DOE/NNSA MEFs under the M&O's contract are aware the CRD applies to their subcontract.
 - (5) Ensuring a COOP plan and procedures are prepared, reviewed annually, and updated as necessary; and plans and procedures are integrated with the overall location emergency preparedness program.
 - (6) Ensuring integration of appropriate Strategic Partnership Projects (formerly known as Work for Others [Non-Department of Energy Funded Work]) with the development and maintenance of the COOP plans.
 - (7) Certifying annually, by date and signature, the contractor maintains a COOP plan. Subordinate organizations may reference overarching COOP plans that integrate crosscutting continuity/devolution capabilities and responsibilities.
 - (8) Identifying continuity budgetary requirements and providing adequate funding to support the COOP program.
 - (9) Approving risk assessments and/or BIAs for MEFs and ESAs, including updates, as applicable.
 - (10) Integrating the COOP program with required emergency management program(s), as applicable.
 - (11) Notifying the Field Element Site Office following the declaration of a continuity event using the CSR submission process, for those contractors supporting MEFs and PMEFs. Alerts should then be made by the contractor or the Field Element Site Office to the Office of Continuity

Programs and the Consolidated Emergency Operations Center (CEOC) as soon as possible.

- (12) Completing, reviewing, and approving CRARs covering facilities under their supervision and submitting reports to the Field Element Site Office for transmittal to the relevant Headquarters Office, if applicable, and the Office of Continuity Programs.
- (13) Activating the contractor's ERG to oversee continuity operations at the appropriate location for those contractors supporting MEFs and PMEFs.
- (14) Coordinating with Field Element Manager and/or Headquarters Office, as applicable, in performing a documented, biennial review of essential functions.
- (15) Establishing the orders of succession to key positions, to ensure support to and execution of essential functions.
- (16) Appointing a primary and an alternate COOP Coordinator responsible for administering the COOP program for the contractor's on-site presence and serving as the liaison between the contractor, the DOE/NNSA Field Element (as necessary), and the Office of Continuity Programs.
 - (a) Inform primary and alternate COOP Coordinators in writing of their continuity roles and responsibilities as contained in the COOP Coordinator Position Description.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate COOP Coordinators.
- (17) Appointing a primary and an alternate APOC responsible for the contractor's personnel accountability program and associated activities during drills, tests, exercises, or real-world events. The COOP Coordinator and APOC roles may be served by the same individual.
 - (a) Inform primary and alternate APOCs in writing of their continuity roles and responsibilities.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate APOCs.
 - (c) Submit contact information of personnel identified as APOCs to the Office of Continuity Programs and HC within 15 days of appointment.
 - (d) Ensure APOCs have access to system used for accountability in order to generate reports, as applicable.

- (18) Appointing primary and alternate ERG members, as applicable.
 - (a) Inform primary and alternate ERG personnel in writing of their continuity roles and responsibilities.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate ERG personnel.
 - (19) Appointing primary and alternate DERG members, as applicable.
 - (a) Inform primary and alternate DERG personnel in writing of their continuity roles and responsibilities.
 - (b) Obtain a signed acceptance of these roles and responsibilities from the primary and alternate DERG personnel.
 - (20) Certifying, by date and signature, the contractor's participation in an annual exercise incorporating the deliberate and preplanned movement of continuity personnel to an alternate location, as applicable, for those contractors supporting MEFs and PMEFs.
- b. Contractor ERG. Contractor ERG personnel are responsible for:
- (1) Responding to real-world events upon notification of activation through the standard procedures. Personnel should be prepared to report to respective alternate location with minimal delay.
 - (2) Receiving training, as applicable, at their respective alternate location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (3) Participating in continuity related TT&E events as requested by Department and/or NNSA. These events include GETS/WPS testing, accountability drills, Mid-Year Training events, Eagle Horizon exercises, etc.
- c. Contractor DERG. Contractor DERG personnel are responsible for:
- (1) Responding to real-world events upon notification of activation through the standard procedures. Personnel should be prepared to report to their respective devolution location with minimal delay.
 - (2) Receiving training, as applicable, at their respective devolution location within 90 days of their assignment to the position and receiving refresher training annually thereafter.
 - (3) Participating in continuity related TT&E events as requested by Department and/or NNSA. These events include GETS/WPS testing,

accountability drills, mid-year training events, Eagle Horizon exercises, etc.

- d. COOP Coordinators. The COOP Coordinators are responsible for:
- (1) Administering the continuity program for their company at their location.
 - (2) Briefing their company’s on-site leadership on all pertinent continuity related information (e.g., Eagle Horizon exercise information, anticipated COGCON changes, impending real-world events, etc.).
 - (3) Responding to COOP-related requests for information (RFIs) from the Office of Continuity Programs.
 - (4) Reviewing the “Monthly Consolidated Continuity Personnel Roster” (or similar roster if the name of the product changes) on a monthly basis and providing updates as necessary to the Office of Continuity Programs.
 - (5) Reviewing “DOE AWARE Quarterly Updates” spreadsheet (or similar roster if the name of the product changes) on at least a quarterly basis and providing updates as necessary to the Office of Continuity Programs.
 - (6) Attending, in person or virtually, monthly COOP Coordinators Meetings, schedule permitting.
 - (7) Completing the COOP Coordinator training as distributed by Office of Continuity Programs within 180 days of distribution or assignment to the position, as applicable.
 - (8) Working with the Field Element Site Office to coordinate with HC, the DOE Office of the Chief Information Officer (IM), NA-MB, APOCs, and the Office of Continuity Programs to quarterly test personnel accountability, alert, and notification procedures.
- e. Accountability Points-of-Contact. APOCs are responsible for:
- (1) Working with the Field Element Site Office to coordinate with HC, IM, NA-MB, COOP Coordinators, and Office of Continuity Programs to quarterly test personnel accountability, alert, and notification procedures.
 - (2) Working with the Field Office Site Office to provide accountability reports, as requested by HC, NA-MB, IM, or the Office of Continuity Programs during drills, tests, exercises, or real-world events.

ATTACHMENT 2: DEFINITIONS

This Attachment provides information applicable to contracts in which the CRD (Attachment 1 to DOE O 150.1B) is inserted.

1. **After Action Report (AAR).** The final product of a test, training, or exercise event. The AAR summarizes key information related to the evaluation of the event and includes an overview of performance related to each exercise objective and associated core capabilities, while highlighting strengths and areas for improvement.
2. **All-Hazard Risk Assessment.** A product/process which collects information and assigns values to risks and vulnerabilities of the Department's essential functions. All-hazards encompasses all conditions, environmental or manmade, that have the potential to cause injury, illness, or death; damage to or loss of equipment, infrastructure services, or property; or alternatively causing functional degradation to social, economic, or environmental aspects. These include accidents, technological events, natural disasters, space weather, domestic and foreign-sponsored terrorist attacks, acts of war, weapons of mass destruction (WMD), and chemical, biological (including pandemic), radiological, nuclear, or explosive (CBRNE) events. Assessments performed for other program requirements (safety and security) can be utilized.
3. **Alternate Location or Alternate Operating Facility (AOF).** Fixed, mobile, or transportable locations, other than the headquarters facility, where leadership and continuity personnel relocate in order to perform essential functions following activation of the continuity plan. These include locations to which agency leadership may devolve. These locations refer to not only location sites but also work arrangements such as telework and mobile work.
4. **Assess, Distribute, and Sustain Planning Model.** The assess, distribute, sustain planning model informs the lines of effort of the Federal Mission Resilience Strategy to drive a cultural shift from continuity as an additional mission to continuity as a key enabler to increase resilience and ensure prioritized essential functions are performed without interruption.

This planning model presents an opportunity to fully implement continuity policy into day-to-day operations and purposely embed continuity, risk management, and crisis management processes and procedures across essential function mission owners to ensure Federal missions are resilient. The strategy requires the Federal Executive Branch to logically distribute leadership authority and operations, where possible, to minimize risk to the performance of essential functions and services and ensure Presidential decision support in all conditions. In cases where distribution is not feasible, appropriate measures will be put in place to harden facilities, capabilities, and assets commensurate with threat, vulnerability, and anticipated impact. This distributed system demands targeted investment in the technology and communications infrastructure necessary to enable secure, robust, and reliable communications during daily operations and disruptive incidents.

- a. **Assess.** The act of routinely reviewing, validating, and prioritizing essential functions and services, and identifying the risk posed to them by current and emerging threats. This element depends on the collection and analysis of the data, quantitative and qualitative, required for mission owners to make risk-informed decisions on how to mitigate risks to the performance of their essential functions and services in order to achieve greater resilience. In the near-term, rapid assessment of the gaps between policy and implementation is a necessary step to implement the lines of effort. Mid/long-term analysis includes a holistic view of risks across the scope of a function, inclusive of operations performed outside the lead entity by public and private partners. This analysis would inform a comprehensive report on the state of Federal Executive Branch essential functions and services. The results of this assessment will shape recommendations on implementation of future operational, planning, programmatic, or policy changes within the Federal Executive Branch. This element requires the integration of the assessment processes across all areas of Department and Agency missions and interagency partners, and the collaborative identification, analysis, and communication of risks within and across designated critical functions. Executive Departments and Agencies must review and prioritize the activities that are deemed essential during a national catastrophic event and must prioritize operations to support Presidential decision making, crisis management, and those activities that promote our American way of life. The National Essential Functions can drive a top-down review by including national defense; homeland security; diplomacy; economic security; public health and safety; and leadership of the Nation before, during, and after disruptive incidents.
- b. **Distribute.** The act of strategically locating where leadership, staff, and mission performance occurs to minimize single points of failure. Distribution is achieved through the building of capabilities to eliminate or mitigate points of vulnerability through the diversification of elements involved in a function's performance. These elements include people, processes, and systems. In the near-term, Executive Departments and Agencies should consider how to best leverage their existing distribution of facilities, locations, and personnel and/or work across the Federal Executive Branch to determine synergies to be gained to reduce risk by increasing the possible nodes available to perform and manage essential functions and services. Activities that reduce vulnerabilities to a function's core components through, but not limited to, distribution of those functions, and implementation of effective mitigation strategies enable mission devolution without moving personnel. Distributing risk dictates the mixed use of physical and cyber capabilities to enhance the fidelity, integrity, security, and confidentiality of essential functions and services. This may include physical relocation outside the threat area and/or the distribution of capabilities to enhance the resilience of critical infrastructure, vital supply chains, and secure and redundant equipment and systems.
- c. **Sustain.** While remaining location agnostic, the act of maintaining the capability to lead and perform essential functions and services, including the ability to shift operations under all conditions. Sustain refers to the ability to continue the

direction and performance of essential functions and services to the required minimum performance levels throughout the course of realized impacts from one or more threats. In the near-term, sustainment is maximizing the routine use of facilities, locations, and personnel available to the Federal Executive Branch. Mid/long-term strategies to achieve sustained operations include utilizing distributed, scalable, flexible, and adaptable operations across geographic areas to mitigate impacts to overall performance of essential functions and services; devolution; and permanent relocation of personnel, equipment, systems, and supporting processes. Sustainment under realized impacts can be implemented at distributed operational locations, devolution locations, or through other mitigation efforts. Under day-to-day operations, sustainment could be carried out by the distributed locations, while other locations (e.g., relocation, devolution, etc.) and alternative processes are leveraged to support realized threat operations.

5. **Business Impact Analysis (BIA).** The BIA provides a method of identifying the potential negative impacts of failing to perform an essential function. Headquarters Offices and Field Elements may leverage existing processes and internal analyses to support the BIA, provided the requirements outlined in Federal Continuity Directive 1 (FCD-1) and Federal Continuity Directive 2 (FCD-2) are met. Headquarters Offices and Field Elements should also use the information derived during the Business Process Analysis (BPA) process to inform the BIA. The BIA is used to assess comparative risk for Mission Essential Functions (MEFs) and Primary Mission Essential functions (PMEFs), to include the processes and critical assets that support their performance, and informs broader risk analysis and risk management efforts. The BIA assists in the prioritization of essential functions and supporting resources, considering the consequences of their loss or degradation and their criticality to the Headquarters Office or Field Element's mission.
6. **Business Process Analysis (BPA).** The BPA is a systematic method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, alternate locations, and other resources needed to perform a Mission Essential Function (MEF). The MEF identification process in Federal Continuity Directive 2 (FCD-2), Annex B identifies what essential functions an organization must continue, and the BPA process identifies how these essential functions are performed. Through BPAs, Headquarters Offices and Field Elements must clearly describe how each MEF is performed, to include process flows and operational details, and identify appropriate resources that must be available during or immediately following a disruption to normal operations to enable the rapid resumption of MEF performance.
7. **Catastrophic Emergency.** Any event, 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.
8. **Communications Plan.** For the purpose of this Order, a communications plan is defined as a document that provides guidance on how internal and external communications are maintained during a continuity activation.

9. **Continuity Capability.** The ability of the Department to continue to perform its essential functions, using Continuity of Operations (COOP) and Continuity of Government (COG) programs and continuity requirements that have been integrated into the Department's daily operations. The primary goal is preserving of our form of government under the U.S. Constitution and the continued performance of National Essential functions (NEFs) under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.
10. **Continuity Capability Elements.** Federal Continuity Directive 1 (FCD-1) outlines 11 Continuity Capability Elements that are fundamental to a successful continuity program and that must be addressed in Continuity of Operations (COOP) plans. Continuity Capability Elements include the following:
 - a. Program Management, Plans, and Procedures.
 - b. Essential Functions.
 - c. Orders of Succession.
 - d. Delegations of Authority.
 - e. Communications and Information Systems.
 - f. Essential Records Management.
 - g. Alternate Locations.
 - h. Human Resources.
 - i. Devolution.
 - j. Reconstitution.
 - k. Test, Training, and Exercises.
11. **Continuity Communications.** The voice, video, and data capabilities that enable Departmental leadership and staff to assure performance of the Department's essential functions. Robust communications enable leadership to receive coordinated and integrated policy and operational advice and recommendations. This provides government organizations and the private sector the ability to communicate internally and with other entities (including with other Federal organizations, State, local, territorial, and tribal (SLTT) governments, and the private sector) as necessary to perform essential functions during a continuity event.
12. **Continuity Coordination Group (CCG).** The CCG is comprised of the Department of Energy (DOE) Primary Mission Essential Function (PMEF) Coordinators, Mission Essential Function (MEF) Coordinators, and select Essential Supporting Activity (ESA)

Coordinators. A representative from the Continuity Leadership Team will serve as facilitator of the CCG's activities. CCG responsibilities include:

- a. Maintaining situational awareness of the status of DOE PMEFs, MEFs, and ESAs.
 - b. Providing DOE PMEF, MEF, and ESA status information to the Emergency Relocation Group (ERG) Leadership Team.
 - c. Coordinating DOE PMEF and MEF status reporting to the Federal Emergency Management Agency (FEMA) in coordination with the Continuity Operations Team (COT).
13. **Continuity Coordinator.** The senior accountable Executive Branch official at the Assistant Secretary or equivalent level who represents the Department on the Continuity Advisory Group (CAG), ensures continuity capabilities in the organization, and provides recommendations for continuity policy. The Department of Energy (DOE) Continuity Coordinator is supported primarily by the Continuity Program Manager and by other continuity planners or COOP coordinators at subordinate levels throughout the Department. The DOE Continuity Coordinator is the Associate Administrator and Deputy Under Secretary for Emergency Operations.
 14. **Continuity Event.** An emergency caused by natural disasters, accidents, military or terrorist attacks, technological emergencies, or infectious disease/pandemic, which impacts or has the potential to impact the performance of essential functions.
 15. **Continuity Leadership Team (CLT).** During an emergency resulting in the implementation of the Department of Energy (DOE) Continuity Plan, the CLT - comprised of the DOE Continuity Coordinator (i.e., Associate Administrator and Deputy Under Secretary for Emergency Operations,), the DOE Continuity Program Manager (i.e., Director of Continuity Programs), and others as necessary based on the situation - will focus on the performance of essential functions and accountability of personnel during and after the incident, and provide status briefings to the Emergency Relocation Group Leadership Team (ERG-LT).
 16. **Continuity of Government (COG).** A coordinated effort within the executive, legislative, or judicial branches of the Federal Government to ensure that National Essential Functions (NEFs) continue to be performed during a catastrophic emergency.
 17. **Continuity of Government Readiness Conditions (COGCON).** The COGCON system establishes executive continuity program readiness levels, focusing on emergencies in, or credible threats to the National Capital Region (NCR), or affecting the performance of National Essential Functions (NEFs). There is a COGCON Matrix in Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*, which provides expectations at each of the COGCON levels.

18. **Continuity of Operations (COOP).** An effort within the Executive Office of the President and individual Departments and Agencies (D/As) to ensure essential functions continue to be performed during a disruption of normal operations.
19. **Continuity of Operations (COOP) Plan.** A documented plan that details how an individual organization will ensure it can continue to perform its essential functions during a wide range of events that affect normal operations. Some organizations call this a Continuity plan.
 - a. **United States Department of Energy (DOE) Continuity Plan** - The DOE Continuity Plan, serving as the “umbrella” Continuity of Operations (COOP) plan for the Department, provides the operational framework for implementing COOP and Devolution across the DOE Enterprise from Headquarters Offices down to the Field Elements, and sets forth the organization, structure, and concept of operations upon which all subordinate COOP plans are formulated. The DOE Continuity Plan is supported by COOP plans for offices reporting to the Office of the Deputy Secretary, Office of the Under Secretary, Office of the Under Secretary for Science, and Office of the Under Secretary for Nuclear Security and Administrator, National Nuclear Security Administration, which are implemented through Headquarters Office and Field Element COOP plans.
 - b. **Headquarters Office and Field Element COOP Plans** - A type of Continuity of Operations (COOP) plan that each Headquarters Office and Field Element develops to implement their COOP program. These COOP plans work in concert with the DOE Continuity Plan and support the Headquarters Office/Field Element’s higher-echelon’s plan and provide guidance to subordinate COOP plans. The COOP plan provides planning information and direction to the specific office about what needs to be done in a continuity event.
20. **Continuity Operations Team (COT).** The COT is a multi-disciplinary team providing continuity operations, analysis, and mission support. The Continuity Information Management Cell (CIMC), on the fourth floor of the Germantown alternate site, is staffed by COT members and is responsible for tracking requests for information (RFI), collating continuity reporting/tasking submissions, developing presentations and white papers for leadership, and coordinating information flow between the different continuity groups. The COT is initially made up of personnel from the Office of Continuity Programs and could expand to include other organizations based upon the incident.
21. **Continuity Program Manager.** The senior continuity planner responsible for managing day-to-day continuity programs, representing the Department on the Continuity Advisory Group (CAG) and working groups, as appropriate, and reporting to the Continuity Coordinator on all continuity program activities. At the Department of Energy (DOE) this is the Director, Office of Continuity Programs.
22. **Continuity Readiness Assurance Report (CRAR).** The CRAR is a planning tool used to identify and develop needed resources and improvements, and to highlight changes and achievements in a program. The report documents the readiness of the Headquarters

Office/Field Elements continuity program based on planning and preparedness activities and the results of the assessment, including evaluations and improvements. The CRAR identifies accomplishments of the continuity program for the previous year and goals for the following year. CRARs can be included in the Emergency Readiness Assurance Plan (ERAP).

23. **COOP Coordinator.** Headquarters Office, Field Element, and M&O contractor representatives who are responsible for administering the Continuity of Operations (COOP) program and serving as the liaison between their Headquarters Office/Field Element/M&O contract and the Office of Continuity Programs. COOP Coordinator roles and responsibilities are specified in the COOP Coordinator Position Description.
24. **Corrective Action Program (CAP).** An organized method of documenting and tracking improvement actions for an organization's continuity program.
25. **Data Back-up.** A copy of files and programs made to facilitate recovery if necessary.
26. **Department of Energy (DOE) Continuity of Operations (COOP) Planning Structure.** The DOE Continuity Plan, serving as the "umbrella" COOP Plan for the Department, provides the operational framework for implementing COOP and Devolution across the DOE Enterprise from Headquarters Offices down to the Field Elements, and sets forth the organization, structure, and concept of operations upon which all subordinate COOP plans are formulated. The DOE Continuity Plan is supported by COOP plans for the Office of the Deputy Secretary (S-2), Office of the Under Secretary (S-3), Office of the Under Secretary for Science (S-4), and Office of the Under Secretary for Nuclear Security and Administrator, National Nuclear Security Administration (S-5/NA-1). The S-Level plans are supported by their respective subordinate Headquarters Office and Field Element COOP plans.

Each DOE Headquarters Office and Field Element is required to develop and implement an office/element specific COOP plan, which will function in coordination with the DOE Continuity Plan. The Headquarters Office and Field Element COOP plans are subordinate to the DOE Continuity Plan and collectively comprise the overall approach for executing the mission of DOE. The DOE Continuity Plan addresses elements of the continuity program for all of DOE, such as the identification and sustainment of DOE's essential functions. Headquarters Office COOP Plans align as appendices to their respective S-Level COOP plan, but are maintained under a separate cover. Field Element COOP plans address local COOP implementation and the Field Elements support of Headquarters COOP efforts, as appropriate. The Field Element COOP plans align as tabs to their respective Headquarters Office COOP plan and are maintained under a separate cover.

27. **Delegation of Authority.** A written delegation of authority provides successors with the legal authorization to act on behalf of the incumbent for specified purposes and to carry out specific duties. Delegations of authority will generally specify a particular function that an individual is authorized to perform and includes restrictions and limitations associated with the authority.

28. **Departmental Element.** For the purposes of this Order, “all Departmental Elements” is used to generically describe all Headquarters Offices and Field Elements.
29. **Departments and Agencies.** Departments and Agencies (D/As) are those executive departments enumerated in 5 United States Code § 101 and independent establishments as defined by 5 United States Code § 104(1), government corporations as defined by 5 United States Code § 103(1), and the United States Postal Service.
30. **Department of Energy Alert, Warning, Accountability, and Response (DOE AWARe).** DOE AWARe is a comprehensive emergency mass notification system used for personnel accountability of DOE’s workforce and sending alert notifications during emergencies. Messages and responses can be sent and received via mobile devices, computers, emails, and desk phones. Accountability exercises/drills are conducted on a quarterly basis.
31. **Department of Energy (DOE) / National Nuclear Security Administration (NNSA) Essential Functions.** Those Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), or Essential Supporting Activities (ESAs) identified in the biennial PMEF/MEF Revalidation Package or the Enterprise-wide Business Process Analysis (BPA).
32. **Devolution.** Devolution does not involve the relocation of personnel, but rather the transfer of statutory authority and responsibility from the Department’s primary operating staff and facilities to other staff and alternate locations to sustain essential functions when necessary.
33. **Devolution Emergency Response Group (DERG).** Trained personnel stationed at the Department’s devolution location, who are identified to continue performance of essential functions when activating the devolution plan.
34. **Devolution Location/Site.** Devolution locations/sites are facilities used to carry out essential functions by devolving the essential functions to a geographically separated facility and staff (the Devolution Emergency Response Group [DERG]) following activation of the devolution plan.
35. **Disaster Recovery Plan (DRP).** A written plan for recovering one or more information systems at an alternate facility in response to a major hardware or software failure or destruction of facilities.
36. **Emergency Readiness Assurance Plan (ERAP).** An annual report each Field Element submits summarizing its emergency management program. The ERAP identifies the goals and accomplishments of the past fiscal year and the goals for the current fiscal year.
37. **Emergency Relocation Group (ERG).** Staff assigned to continue performance of essential functions at an alternate location in the event the primary operating facility or facilities are impacted or incapacitated by an incident. The ERG composition is not the same at Department of Energy (DOE) Headquarters as it will be at the Field Elements. In the field, each element will determine how to develop their ERG.

38. **ERG Leadership Team (ERG-LT)** - The ERG-LT is comprised of Executive Departmental Leadership (the Secretary [S-1] through S-5/NA-1) and Office Leadership (“Dash-1” Level) who have primary responsibility for control and direction of their respective organization’s performance of essential functions or essential supporting activities (ESA). The ERG-LT relocates to the Germantown alternate site upon activation of the DOE Continuity Plan.
39. **ERG Support Team (ERG-ST)** - ERG-ST members are the senior staff, experts, and other personnel designated by organizations to support the ERG-LT, and/or to perform, or support the performance of, essential functions or ESAs. These personnel are designated as “Mission Critical” or “Essential Employees.” ERG-ST members can work from the Germantown alternate site or a pre-determined telework location as decided upon by their organization.
40. **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 to the legislative and judicial branches and the constitutional separation of powers among the branches, to preserve the constitutional framework under which the Nation is governed. ECG includes 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.
41. **Enterprise-wide Essential Supporting Activities (ESAs)**. Enterprise-wide ESAs are large-scale activities necessary to support command, control, and administration of Department of Energy’s (DOE) Continuity of operations (COOP) and emergency response operations during DOE Continuity Plan activation. Each Enterprise-wide ESA is assigned to at least one Office of Primary Responsibility. Enterprise-wide ESAs include:
 - a. Manage Facility Infrastructure
 - b. Manage Human Capital Issues
 - c. Manage Employee Accountability Process
 - d. Manage Budget, Finances, and Payroll
 - e. Manage Reconstitution Efforts
 - f. Manage Information Technology (IT) Infrastructure
 - g. Coordinate Continuity Operations and Emergency Operations
 - h. Provide Legal Counsel
 - i. Manage Public Affairs

- j. Manage Congressional and Intergovernmental
 - k. Manage Acquisitions and Contract Issues
 - l. Provide Security Support for DOE Facilities, Personnel, and Infrastructure
 - m. Administer Access to Classified Materials/Systems
42. **Essential Functions.** A subset of government functions that are determined to be critical activities. These essential functions are then used to identify supporting tasks and resources that must be included in the Department of Energy (DOE) Headquarters Office and Field Element continuity planning process. The term “essential functions” refers to those functions a Headquarters Office or Field Element must continue in a continuity situation, whether the functions are Mission Essential Functions (MEFs), Primary Mission Essential Functions (PMEFs), or Essential Supporting Activities (ESAs).
43. **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 legal and financial rights records. Emergency operating records are essential to the continued functioning or reconstitution of the Department, a Headquarters Office, or Field Element. Legal and financial rights records are critical to carrying out the Department, Headquarters Office, or Field Element’s essential legal and financial functions and essential to the protection of the legal and financial rights of individuals who are directly affected by the Department, Headquarters Office, or Field Element’s activities.
44. **Essential Supporting Activities (ESAs).** Functions that support performance of Mission Essential Functions (MEFs) or Primary Mission Essential Functions (PMEFs) but do not reach the threshold of MEFs and PMEFS. ESAs are important facilitating activities performed by most organizations (e.g., providing a secure workplace, ensuring computer systems are operating); however, the sole performance of ESAs does not directly accomplish an organization’s mission.
45. **Exercises.** An exercise is a scripted, scenario-based instrument to assess, evaluate and improve performance in a risk-free environment. Exercises can be used for testing and validating continuity policies, plans, procedures, training, equipment, and interagency agreements; clarifying and training personnel in roles and responsibilities; improving interagency coordination and communications; improving individual performance; identifying gaps in resources; and identifying opportunities for improvement. An exercise can be discussion-based (examples include seminars, workshops, tabletop exercise, and games), or operations-based. Federal Continuity Directive 1 (FCD-1), Annex K, provides a list of required exercise activities.
46. **Federal Mission Resilience.** Federal Mission Resilience is the ability of the Federal Executive Branch (the Executive Office of the President and Executive Departments and Agencies) to continually maintain the capability and capacity to perform essential functions, without time delay, in an all-hazards and all-threat environment and with the

assumption that adequate warning of risk to operations will not be available. Federal Mission Resilience will be realized when preparedness programs, including continuity and enterprise risk management, are fully integrated into day-to-day operations.

47. **Federal Mission Resilience Strategy (FMRS).** The Federal Mission Resilience Strategy is a document that builds upon continuity policy and accelerates the evolution of our Federal Government to become more resilient against all threats and conditions through an enduring structure of distributed risk and capability. The FMRS supports the National Security Strategy by shifting national continuity policy implementation to better address emerging threats to essential functions. The FMRS aligns continuity policy implementation with the model of “assess, distribute, and sustain” by reducing emphasis on relocating personnel to alternate locations and increasing emphasis on distribution and devolution to minimize disruptions to essential functions and services. The shift in policy implementation is to increase the capability and capacity to continually perform essential functions in a distributed environment to mitigate the threats of renewed adversary competition. Through the application of risk management and continuity of operations principles, the increased resilience of day-to-day mission operations will ensure continuous performance of essential functions and services regardless of circumstances. “Essential functions and services” refers to the functions (e.g., National Essential Functions [NEFs], and Primary Mission Essential Functions [PMEFs]), services, systems, activities, and capabilities necessary to preserve and sustain the American way of life.
48. **Field Element.** The collective Department of Energy (DOE) and National Nuclear Security Administration (NNSA) operations offices, service centers, site offices, field offices, area offices, production offices, project management offices, government-owned government-operated facilities, and regional offices of federally-staffed laboratories that report directly to a DOE Headquarters office.
49. **Government Emergency Telecommunication Service (GETS).** GETS is a program of the Department of Homeland Security, Office of Emergency Communications that prioritizes calls over wireline networks. Users receive an access card (GETS card), which has both the universal GETS access number and a Personal Identification Number (PIN). The GETS program is in effect all the time--it is not contingent on a major disaster or attack taking place.
50. **Headquarters Office.** The collective Department of Energy (DOE) and National Nuclear Security Administration (NNSA) Headquarters Offices (e.g., Program, Secretarial, Staff, Support, Mission, and Mission Support).
51. **Identity Management.** The combination of technical systems, policies and processes that create, define, govern, and synchronize the ownership, utilization and safeguarding of identity information.
52. **Industrial Control System.** An information system used to control industrial processes such as manufacturing, product handling, production, and distribution. Industrial control systems include supervisory control and data acquisition (SCADA) systems used to control geographically dispersed assets, as well as distributed control systems (DCSs) and

- smaller control systems using programmable logic controllers to control localized processes.
53. **Information System Contingency Plans (ISCP).** Management policy and procedures designed to maintain or restore business operations, including computer operations, possibly at an alternate location, in the event of emergencies, system failures, or disasters.
 54. **Interoperability.** The ability of systems, personnel, or organizations to provide services to and accept services from other systems, personnel, or organizations, and to use the services so exchanged so that these organizations can operate together effectively. Also, condition that is realized among electronic communications operating systems or grids and/or among individual electronic communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.
 55. **Information Technology (IT) Disaster Recovery Site.** An IT Disaster Recovery Site is an alternative backup facility that is used when a primary location becomes unusable due to failure or disaster. It contains equipment and infrastructure that can be temporarily used to manage IT processes until the main site's functionality is fully restored. An IT Disaster Recovery Site is often located in an entirely different location, city, or state than the primary facility. This ensures a higher probability of safety when a primary facility fails due to a localized disaster.
 56. **Maximum Allowable Downtime.** The absolute maximum time in which a system can be unavailable without significant ramifications to the Primary Mission Essential Functions (PMEFs), Mission Essential functions (MEFs), or Essential Supporting Activities (ESAs). Maximum allowable downtime should also include the time it would take to restore a system to full operation once the backup has been restored, including the time it would take to recreate any lost data and test the restored data for integrity. Maximum allowable downtime can be measured in minutes, hours, days, or weeks.
 57. **Memorandum of Agreement/Memorandum of Understanding (MOA/MOU).** Written agreements between organizations that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.
 58. **Mission Essential Functions (MEFs).** The essential functions directly related to accomplishing the Department's mission as set forth in statutory or executive charter. Generally, MEFs are unique to each organization. The Office of Continuity Programs maintains the current list of Department of Energy (DOE) MEFs.
 59. **Multi-Year Strategy and Program Management Plan (MYSPMP).** A plan that guides the development of the Department's continuity program over a set number of years via a process that ensures the maintenance and continued viability of continuity plans. The Office of Continuity Programs has developed a Continuity Program Strategy which meets MYSPMP requirements.
 60. **National Capital Region (NCR).** The National Capital Region (NCR) was created pursuant to the National Capital Planning Act of 1952 (40 U.S.C. § 71). The Act defined

the NCR as the District of Columbia; Montgomery and Prince George’s Counties of Maryland; Arlington, Fairfax, Loudoun, and Prince William Counties of Virginia; and all cities now or hereafter existing in Maryland or Virginia within the geographic area bounded by the outer boundaries of the combined area of said counties.

61. **National Essential Functions (NEFs).** Select functions necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through Continuity of Operations (COOP), Continuity of Government (COG), and Enduring Constitutional Government (ECG) capabilities.
62. **Occupant Emergency Plan.** A short-term emergency response plan which establishes procedures for evacuating buildings or sheltering-in-place to safeguard lives and property. Organizations may refer to this plan as the Emergency Plan or Building Closure Plan. Common scenarios that would lead to the activation of these plans include inclement weather, fire, localized power outages, and localized communications outages. These types of events are generally short-term in nature.
63. **Orders of Succession.** A formal, sequential assumption of a position’s authorities and responsibilities, to the extent not otherwise limited by law, by the holder of another specified position as identified in statute, executive order, or other presidential directive, or by relevant Departmental policy, order, or regulation if there is no applicable executive order, other presidential directive, or statute in the event of a vacancy in office or a position holder dies, resigns, or is otherwise unable to perform the functions and duties of that pertinent position.
 - a. **Department of Energy (DOE)** Orders of succession are listed in DOE Order (O) 100.1E (or current version), *Secretarial Succession, Threat Level Notification, and Successor Tracking*.
 - b. **National Nuclear Security Administration (NNSA)** Succession is listed in NNSA Supplemental Directive (SD) 150.1A, (or current version) *Lines of Succession*.
64. **Partner.** A partner is another organization, internal or external to DOE, that provides input to, receives output from, assists in performing functions, or provides other informational, operational, or logistical support required to perform a Mission Essential Function (MEF). In general, there are two types of partners referred to in this Order:
 - a. **Performing Partner.** The Headquarters Office, Field Element, or Contractor holding either the primary or a significant responsibility in carrying out a function, action, or task.
 - b. **Supporting Partner.** The Headquarters Office, Field Element, or Contractor providing some manner of assistance in the performance of a function. Supporting Partners often provide Essential Supporting Activities that help enable a function or activity. In some cases, Supporting Partners may only provide ad hoc advisory support to leadership.

65. **Personnel Accountability Report.** Organizations not using the Department’s primary automated alert and notification system primary alert and notification system (i.e., DOE AWARe as of January 2021) are requested to submit Personnel Accountability Reports during certain drills, exercises, and real-world events. The reports are to include the number of Federal and Contractor staff in each of the following categories for each Headquarters Office, Field Element, and M&O contractor. Two possible approaches for submitting Personnel Accountability Reports include the following:
- a. M&O contractors provide Personnel Accountability Reports for the M&O’s own staff (including initial reports and updates, if applicable) to the Field Element to transmit to the DOE Office of the Chief Human Capital Officer (HC) upon request and to NNSA’s Management and Budget (NA-MB) office, if applicable. Elements of Personnel Accountability Reports include the items listed in paragraphs 1 through 9 below.
 - b. Field Elements and M&O contractors coordinate with one another and the M&O contractor submits a personnel accountability report for both the Field Element and the M&O contractor. Elements of Personnel Accountability Reports include the items listed in paragraphs 1 through 9 below.
 - (1) Total Personnel
 - (2) Personnel Reporting to the DOE Facility/Site
 - (3) Personnel Working Remotely/Teleworking
 - (4) Personnel on Travel or Training
 - (5) Personnel on Leave or Regular Day Off
 - (6) Total Personnel Not Accounted for at this Time
 - (7) Total Personnel Accounted for via DOE AWARe (if applicable)
 - (8) Total Personnel Organization Accounted for Outside DOE AWARe (by other system or organization contact)
 - (9) Percentage of Total Personnel Accounted for at this Time
66. **Primary Mission Essential Functions (PMEFs).** Those Mission Essential Functions (MEFs) that must be continuously performed to support or implement the uninterrupted performance of National Essential Functions (NEFs). The Office of Continuity Programs maintains the current list of Department of Energy (DOE) PMEFs approved by the National Continuity Coordinator (NCC).
67. **Primary Operating Facility.** The facility where an organization’s leadership and staff operate on a day-to-day basis.

68. **Reconstitution.** The process by which surviving and/or replacement organization personnel resume normal operations. Resumption of normal operations may or may not be performed at the original primary operating facility.
69. **Recovery.** The implementation of prioritized actions required to return the Department's processes and support functions to operational stability following a change in normal operations.
70. **Redundancy.** The state of having duplicate capabilities, such as systems, equipment, or resources.
71. **Resilience.** The ability to prepare for and adapt to changing conditions and recover rapidly from operational disruptions. Resilience includes the ability to withstand and recover from deliberate attacks, accidents, or naturally occurring threats or incidents.
72. **Risk.** The potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences. With respect to continuity, risk may degrade or hinder performance of essential functions and affect critical assets associated with continuity operations.
73. **Risk Analysis.** A systematic examination of the components and characteristics of risk.
74. **Risk Assessment.** A product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.
75. **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.
76. **Security Condition (SECON).** Department of Energy (DOE) Security Condition (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. DOE has five SECON levels with SECON 5 being the lowest level of readiness and SECON 1 the highest.
77. **Service Level Agreement (SLA).** An SLA is a document that defines the level of service expected from a vendor, laying out the metrics by which service is measured, as well as remedies or penalties if the vendor does not achieve agreed upon service levels. SLAs are a critical component of any technology vendor contract.
78. **Strategic Partnership Projects.** 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 Department of Energy appropriations. The Order covering Strategic Partnership Projects is Department of Energy (DOE) Order (O) 481.1, *Strategic Partnership Projects [formerly known as Work for Others (Non-Department of Energy Funded Work)]*, current version.

79. **Telecommunications Service Priority (TSP).** TSP is a Federal Communications Commission (FCC) program that directs telecommunications service providers (e.g., wireline and wireless phone companies) to give preferential treatment to users enrolled in the program when they need to add new lines or have their lines restored following a disruption of service, regardless of the cause. The FCC sets the rules and policies for the TSP program and the U.S. Department of Homeland Security, manages the TSP program. The TSP program is in effect all the time--it is not contingent on a major disaster or attack taking place. Federal sponsorship is required to enroll in the TSP program.
80. **Telework.** A work flexibility arrangement under which an employee performs the duties and responsibilities of his/her position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work.
81. **Test.** In the context of a test, training, and exercise (TT&E) program, a test is an evaluation tool that uses quantifiable metrics to validate the operability of a system or system component in an operational environment. Testing demonstrates the correct operation of all equipment, procedures, processes, and systems that support an organization's continuity infrastructure. Federal Continuity Directive 1 (FCD-1), Annex K, provides a list of required testing.
82. **Test, Training, and Exercise (TT&E).** Activities designed to familiarize, impart skills, and ensure viability of continuity plans. TT&E aids in verifying an organization's continuity plan is capable of supporting the continued execution of their essential functions throughout the duration of a continuity event.
83. **Training.** In the context of a test, training, and exercise (TT&E) program, training is a tool used for informing personnel of their roles and responsibilities within a particular plan and teaching them skills related to those roles and responsibilities. Training familiarizes continuity personnel with their roles and responsibilities to support the performance of an organization's continuity operations. Training results in a better understanding of an organization's continuity program, processes, and procedures. Federal Continuity Directive 1 (FCD-1), Annex K, provides a list of required training activities.
84. **Wireless Priority Service (WPS).** WPS is a Federal program that authorizes cellular communications service providers to prioritize calls over wireless networks. Service provider participation in the WPS program is voluntary. Participating service providers typically deploy WPS in stages until service is available in most coverage areas and functionality has reached full operating capability. Authorized users dial *272 on a WPS enabled device to receive calling queue priority. WPS calls do not preempt calls in progress, but provide priority status over cellular communications networks. The WPS program is in effect all the time--it is not contingent on a major disaster or attack taking place.

ATTACHMENT 3: ACRONYM AND INITIALISM LIST

This Attachment provides information applicable to contracts in which the CRD (Attachment 1 to DOE O 150.1B) is inserted.

AAR	After Action Report
AOC	Alternate Operations Center
AOF	Alternate Operating Facility
APOC	Accountability Point-of-Contact
AU	Office of Environment, Health, Safety and Security
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAG	Continuity Advisory Group
CAP	Corrective Action Program
CBRNE	Chemical, Biological, Radiological, Nuclear, or Explosive
CCG	Continuity Coordination Group
CEOC	Consolidated Emergency Operations Center
CESER	Office of Cybersecurity, Energy Security, and Emergency Response
CFR	Code of Federal Regulations
CIMC	Continuity Information Management Cell
CLT	Continuity Leadership Team
CO	Contracting Officer
COG	Continuity of Government
COGCON	Continuity of Government Readiness Condition
COOP	Continuity of Operations
COR	Contracting Officer's Representative
COT	Continuity Operations Team
CRAR	Continuity Readiness Assurance Report
CRD	Contractor Requirements Document
CSR	Continuity Status Reporting Form
D	Directive
D/A	Departments and Agencies
DCS	Distributed Control Systems
DEAR	Department of Energy Acquisition Regulation

DERG	Devolution Emergency Response Group
DHS	Department of Homeland Security
DOE	Department of Energy
DOE AWARe	Department of Energy Alert, Warning, Accountability, and Response
DRP	Disaster Recovery Plan
ECG	Enduring Constitutional Government
ERAP	Emergency Readiness Assurance Plan
ERG	Emergency Relocation Group
ERG-LT	ERG Leadership Team
ERG-ST	ERG Support Team
ESA	Essential Supporting Activity
FCAT	Federal Continuity Assessment Tool
FCC	Federal Communications Commission
FCD-1	Federal Continuity Directive 1
FCD-2	Federal Continuity Directive 2
FEMA	Federal Emergency Management Agency
FMRS	Federal Mission Resilience Strategy
FOIA	Freedom of Information Act
GC	Office of the General Counsel
GETS	Government Emergency Telecommunications Service
GSA	General Services Administration
GWIDS	Government Emergency Telecommunications Service/Wireless Priority Service Information Distribution System
HC	Office of the Chief Human Capital Officer
IM	Office of the Chief Information Officer
IN	Office of Intelligence and Counterintelligence
IP	Improvement Plan
ISCP	Information System Contingency Plan
IT	Information Technology
M	Manual
M&O	Management and Operating
MA	Office of Management

MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MYSPMP	Multi-Year Strategy and Program Management Plan
NA-GC	NNSA Office of General Counsel
NA-IM	NNSA Office of Information Management and Chief Information Officer
NA-MB	NNSA's Management and Budget office
NCC	National Continuity Coordinator
NCP	FEMA National Continuity Programs
NCR	National Capital Region
NEF	National Essential Function
NNSA	National Nuclear Security Administration
NSC	National Security Council
O	Order
OPSEC	Operations Security
OSTP/OMB	Office of Science and Technology Policy / Office of Management and Budget
OUO	Official Use Only
PA	Office of Public Affairs
P.L.	Public Law
PMEF	Primary Mission Essential Function
PPD	Presidential Policy Directive
QL/CSR	Quick Look and Continuity Status Reporting Form
RFI	Request for Information
S-1	The Secretary of Energy
S-2	The Deputy Secretary of Energy
S-3	The Under Secretary
S-4	The Under Secretary for Science
S-5/NA-1	The Under Secretary for Nuclear Security and Administrator, National Nuclear Security Administration
SCADA	Supervisory Control and Data Acquisition
SD	Supplemental Directive
SECON	Security Condition

SF	Standard Form
SLA	Service Level Agreement
SLTT	State, local, territorial, and tribal
SOP	Standard Operating Procedure
TECC	Transportation Emergency Control Center
THIRA	Threat and Hazard Identification and Risk Assessment
TS/SCI	Top Secret/Sensitive Compartmented Information
TSP	Telecommunications Service Priority
TT&E	Test, Training, and Exercises
UCNI	Unclassified Controlled Nuclear Information
U.S.C.	United States Code
WMD	Weapon of Mass Destruction
WPS	Wireless Priority Service