

SUBJECT: CONTINUITY OF OPERATIONS

1. OBJECTIVES. To define requirements and responsibilities for continuity of operations (COOP) planning within the Department of Energy (DOE) to ensure the capability to continue essential Departmental functions across a wide range of all hazard emergencies. Continuity planning is required by Presidential Decision Directive 67, *Enduring Constitutional Government and Continuity of Government Operations*, and Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*.
2. CANCELLATIONS. None.
3. APPLICABILITY.
 - a. Primary DOE Organizations, Including National Nuclear Security Administration (NNSA) Organizations. Except for the exclusions in paragraph 3b, this Notice applies to all Primary DOE Organizations (see Attachment 1 for a complete list of Primary DOE Organizations). This Notice automatically applies to Primary DOE Organizations created after it is issued.

The Administrator of NNSA shall assure that NNSA employees comply with their respective responsibilities under this Notice.
 - b. Exclusions. Consistent with the responsibilities identified in Executive Order 12344, the Director of the Naval Nuclear Propulsion Program will determine the applicability of this Notice for activities and facilities under his/her control.
4. REQUIREMENTS.
 - a. Overview.
 - (1) All Federal departments and agencies are required to establish the capability to continue essential Federal government functions as necessary to meet civilian and defense needs during any emergency, including natural disasters, accidents, military or terrorist attacks, and technological emergencies. This requirement also applies to Agency and department subcomponents such as DOE field elements.
 - (2) Each organization's COOP capability must be able to be implemented with or without warning and provide for the conduct of each essential function as soon as possible relative to its importance to national security and worker and public safety, but in all cases within 12 hours of COOP activation.

b. COOP Planning.

- (1) The DOE COOP Manager will develop an overarching DOE COOP plan based on the Department's essential functions identified in Attachment 2 of this Notice. The DOE COOP plan will address all of the program elements specified in Federal Emergency Management Agency (FEMA) Federal Preparedness Circular 65 (FPC-65), *Federal Executive Branch Continuity of Operations (COOP)*, and in particular, the DOE COOP plan will specify the following.
 - (a) Alternate locations where Headquarters personnel will be expected to execute essential functions if feasible under the event circumstances.
 - (b) Plans for transferring the responsibilities for executing essential functions from Headquarters to one or more field elements (also known as devolution) if an emergency renders leadership and staff incapable or unavailable to operate from the designated COOP locations.
 - (c) A decision process for activating the DOE COOP plan with or without warning and the process for notifying designated Headquarters employees and other Departmental elements of COOP plan activation.
 - (d) The concept of operations for executing the Department's essential functions at one or more alternate locations. All functions deemed not essential to the immediate needs of the Department will be deferred until additional resources become available and as the situation permits. In the immediate aftermath of an event affecting DOE Headquarters operations, the Department will assemble the smallest staff necessary to support leadership and execute essential functions. This staff may be augmented over time.
 - (e) The actions that will be taken to meet the requirements of Attachment 3, "Department and Agency COOP Alert and Deployment Options," are incorporated herein by this reference.¹ Attachment 3 describes increased readiness measures that must be implemented when DOE is directed to do so by an appropriate authority.

¹Attachment 3 will be disseminated to Departmental entities with a valid need to know. Attachment 3 contains Official Use Only Information and will not be made available through the Departmental Directives System. Requests for copies of Attachment 3 should be made to the Office of Security at 301-903-2422.

- (2) Each Primary DOE Organization must develop a COOP implementation plan to support execution of the Department's essential functions and implementation of the DOE COOP plan. These COOP implementation plans must address the following.
 - (a) Orders of succession to key positions within the organization to ensure the organization's ability to support the Secretary and the execution of essential functions when necessary.
 - (b) Predetermined delegations of authority for making policy determinations and decisions that can take effect when normal channels of direction are disrupted. Delegations of authority must include a clear description of the circumstances under which the delegated authorities would take effect and any limits to the authorities delegated.
 - (c) The process for notifying employees of COOP plan activation and conveying response expectations.
 - (d) For those offices that are responsible for performing or directly supporting the essential functions, assignment of specific responsibilities and procedures for executing their essential functions from alternate locations designated under paragraphs 4b(1)(a) and (b) above.
 - (e) The personnel qualified to execute the organization's essential functions during a COOP event.
 - (f) The communications systems, vital records, data management software and equipment, databases, and other information, including classified and other sensitive data and communication systems, necessary to execute the organization's essential functions from alternate locations and to reconstitute normal operations after an emergency. Requirements for identifying, protecting, and managing vital records are addressed in 36 CFR 1236.
 - (g) The mechanisms that will be used to protect and ensure ready access to the information identified under paragraph 4b(2)(f).
- (3) Each DOE field element (for the purposes of this Notice, this term includes operations offices, service centers, site offices, area offices and regional offices of federally staffed laboratories) and Power Marketing Administration must develop a COOP plan that addresses the elements in FEMA FPC 65.

- (a) The degree of field element COOP planning will be commensurate with that field element's role in supporting execution of the Department's essential functions and the extent to which an event directly affecting the field element would impact the continuity of both Departmental and local essential functions.
- (b) In conjunction with the provisions of FPC 65, COOP plans for field elements must specifically address the following.
- 1 Local time-sensitive actions that must be taken to support the essential functions identified in Attachment 2 when the field element is not directly impacted (i.e., when field element personnel do not need to relocate from their normal work locations), such as directing increased site security measures.
 - 2 Procedures for executing essential functions that have been transferred from Headquarters to their locations in accordance with the DOE COOP plan when it is feasible to do so under local conditions.
 - 3 Local essential functions that must be continued under any and all circumstances for an event that directly impacts the field element (i.e., when field element personnel must relocate). The essential functions for an event directly impacting the field element will be based on those functions that must continue with minimal disruption or cannot be interrupted for more than 12 hours without compromising the organization's ability to execute the Department's essential functions at the local level.
 - 4 Provisions for executing or supporting execution of essential functions from one or more alternate locations. In addressing this requirement, field elements must take maximum advantage of existing field element infrastructures and consider all of the options identified in Annex E of FPC 65 to determine the most cost effective approach. The plan should identify whether the field element essential functions can be executed from Headquarters or another DOE field office during an emergency.
 - 5 A decision process for the head of the field element, his designee, or his successor to activate the organization's COOP plan with or without warning for an event affecting the local area.

- 6 The process for notifying employees, DOE Headquarters, and other Departmental elements of activation of the field element's COOP plan.

c. COOP Readiness.

- (1) The provisions necessary to execute the organization's COOP plan or COOP implementation plan must be implemented within 180 calendar days of the date that the DOE COOP plan is approved.
- (2) If implementation of this Notice cannot be accomplished within 180 days of the effective date of the DOE COOP plan, an implementation plan must be developed.
- (3) Implementation plans, if required, for Primary DOE Organizations must be submitted for approval to the DOE Continuity Program Emergency Coordinator within 90 days of the effective date of the DOE COOP plan.
- (4) Implementation plans for DOE field elements, if required, must be submitted for approval to the Lead Program Secretarial Officer (LPSO) and the DOE Continuity Program Emergency Coordinator within 90 days of the effective date of the DOE COOP plan.
- (5) In the case of NNSA, implementation plans must be submitted through the Administrator to the Deputy Secretary within 90 days of the effective date of the DOE COOP plan.
- (6) Plans must ensure that implementation of this Notice is accomplished within 1 year of the effective date of the DOE COOP plan.

- d. Maintaining and Updating COOP Plans. Each organization's COOP plan or COOP implementation plan must be reviewed annually and refined as necessary to reflect changes in mission and organization and incorporate lessons learned from tests, training, exercises, and responses to actual events.

5. RESPONSIBILITIES.

a. Deputy Secretary of Energy.

- (1) Serves as or appoints a senior policy official to serve as the Departmental emergency coordinator as required by Executive Order 12656.
- (2) Ensures that the line of succession to the Secretary of Energy identified in DOE O 100.1B, *Secretarial Succession*, dated 8-16-04, is maintained up-to-date.

- (3) Approves the DOE COOP plan.
 - (4) Ensures that officials in the line of Secretarial succession are trained to carry out their emergency response duties and participate in COOP exercises.
- b. DOE Continuity Program Emergency Coordinator.
- (1) Appoints a DOE COOP Manager with responsibility and authority for day-to-day management of the COOP program.
 - (2) Ensures development and maintenance of a multiyear continuity of operations plan for the Department that includes objectives, programs, and budgetary requirements to support a viable COOP capability.
 - (3) Performs a documented review of the COOP plan annually and submits substantive changes to the plan to the Deputy Secretary for approval as deemed necessary.
 - (4) Serves as the liaison between the DOE COOP Manager and the Office of the Secretary to ensure that contact information and COOP needs for officials in the line of Secretarial succession are maintained up-to-date.
- c. DOE COOP Manager.
- (1) Manages and coordinates the DOE COOP program.
 - (2) Ensures that COOP plans and procedures are coordinated with the DOE Designated Official who is responsible for the Occupant Emergency Plan, and the Director, Office of Emergency Operations, who is responsible for emergency management policy and the DOE Headquarters Emergency Management Team Plan.
 - (3) Ensures that alternate operating facilities and contingency plans are established and maintained for the execution of essential functions by Headquarters personnel.
 - (4) In coordination with the DOE Operations Center Watch Office, establishes procedures for notifying and providing instructions to DOE Headquarters personnel when the DOE COOP plan is activated.
 - (5) Plans and conducts training for Headquarters COOP response personnel.
 - (6) Validates Headquarters COOP readiness through regularly scheduled internal and interagency tests and exercises.
 - (7) Provides COOP planning guidance to Headquarters and field elements.

- (8) Keeps the Headquarters COOP coordinators apprised of DOE and interagency COOP activities.
 - (9) Provides up-to-date COOP points of contact information to the FEMA Operations Center.
 - (10) Serves as the Department's point of contact for coordinating interagency COOP activities.
- d. Director, DOE Headquarters Operations Center Watch Office.
- (1) Provides emergency operations support for COOP planning, preparedness, and implementation.
 - (2) Tracks the locations of DOE leadership and successors in accordance with Attachment 3 as required.
- e. Heads of Primary DOE Organizations.
- (1) Appoint COOP coordinators to serve as COOP points of contact for their respective organizations and provide their point of contact information to the DOE COOP Manager. The DOE COOP Manager will use the COOP coordinators to communicate issues and activities related to the DOE COOP program to the Primary DOE Organizations and to solicit office- and field-element-specific information needed to implement, test, and validate the DOE COOP plan.
 - (2) Review and approve the organization's COOP implementation plan annually and provide a copy to the DOE COOP Manager.
- f. Heads of Field Elements.
- (1) Appoint a COOP coordinator to serve as the COOP point of contact for the field element and provide the point of contact information to their Lead Program Secretarial Office (LPSO) and the DOE COOP Manager.
 - (2) Notify the DOE Headquarters Operations Center Watch Office as soon as possible following a decision to activate the field element's COOP plan.
 - (3) Review and approve the field element's COOP plan annually and provide a copy to their LPSO, the LPSO's COOP coordinator, and the DOE COOP Manager.

6. REFERENCES.

- a. Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, November 1988.
- b. Presidential Decision Directive 67, *Enduring Constitutional Government and Continuity of Government Operations (U)*, October 21, 1998.
- c. FEMA Federal Preparedness Circular 65, *Federal Executive Branch Continuity of Operations (COOP)*, June 15, 2004.
- d. DOE O 100.1B, *Secretarial Succession*, dated 8-16-04.

7. CONTACT. Questions concerning this Notice should be directed to the Office of Security, 301-903-2422.

BY ORDER OF THE SECRETARY OF ENERGY:



KYLE E. McSLARROW
Deputy Secretary

CANCELLED

**PRIMARY DEPARTMENT OF ENERGY ORGANIZATIONS TO WHICH
DOE N 150.1 IS APPLICABLE**

Office of the Secretary
Chief Information Officer
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
National Nuclear Security Administration
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electric Transmission and Distribution
Office of Energy Assurance
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Independent Oversight and Performance Assurance
Office of the Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation/Chief Financial Officer
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Bonneville Power Administration¹
Southeastern Power Administration¹
Southwestern Power Administration¹
Western Area Power Administration¹

¹Although they are Primary DOE Organizations, the Power Marketing Administrations are required to develop COOP plans in accordance with paragraph 4b(3) of this Notice in lieu of COOP implementation plans.

DEPARTMENT OF ENERGY ESSENTIAL FUNCTIONS (EFs)

EF 1—Energy Information and Analysis: Provide energy information and analyses regarding resources, production, consumption, distribution, technology, and related economic and statistical information to decision makers in the executive branch, Congress, State governments, and the public.

EF 2—National Energy Supply and Demand: Monitor the national energy supply and demand conditions and the requirements for, and availability of, materials and services critical to the national energy infrastructure.

EF 3—Status of Essential Energy Facilities: Monitor the status of energy facilities essential to the mobilization, deployment, and sustainment of resources to support the national security and national welfare.

EF 4—Strategic Petroleum Reserve: Advise and direct efforts in the use of the Strategic Petroleum Reserve or the Northeastern Home Heating Oil Reserve in the event of a petroleum supply disruption.

EF 5—Allocation of Energy Resources: Advise of the allocation of all energy resources requirement for national defense and essential civilian needs to ensure continued national security.

EF 6—Nuclear Security: Ensure the security and accountability of nuclear materials, nuclear weapons, or devices in the custody of DOE.

EF 7—Security Infrastructure: Ensure the security of all DOE programs and facilities.

EF 8—Safety, Reliability, and Performance of U.S. Nuclear Weapons: Ensure the safety, reliability, and performance of U.S. nuclear weapons.

EF 9—Execute Federal Response Plans: Execute responsibilities under the National Response Plan, Federal Response Plan, Federal Radiological Emergency Response Plan, National Contingency Plan, and other similar plans and agreements.

EF 10—Intelligence/Counterintelligence: Conduct intelligence, counterintelligence, and threat assessments including monitoring global nuclear weapons development, nonproliferation, terrorist threats, and energy production and consumption impacting national security.

EF 11—Command, Control, and Leadership: Provide executive-level Departmental command, control, and leadership and management of DOE's program, support, and field offices.

EF 12—Leadership Support: Advise and provide direct support to the Office of the Secretary in responding to special requests and addressing issues arising in an emergency situation.

EF 13—Operational Support: Provide the operational and human infrastructures on which performance of other essential functions rely, such as those functions that support facility, communications, and information systems requirements, and ensure the sustenance of employees' safety, health, and welfare.

Note: The numerical order of the essential functions does not indicate an order of priority.

CANCELED