

Department of Energy
Continuity
Technical Assistance Program (CTAP)



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EXECUTIVE SUMMARY

The purpose of the Department of Energy (DOE) Continuity Technical Assistance Program (CTAP) is to provide the tools necessary to assist DOE/National Nuclear Security Administration (NNSA) Headquarters (HQ) Program/Staff Offices, field elements, and contractors in the validation and improvement of their specific Continuity of Operations (COOP) Program. For the purpose of this document, the term DOE is used to refer to DOE/NNSA.

In accordance with DOE O 150.1, *Continuity Programs*, and the DOE Continuity of Operations (COOP) Plan, dated September 22, 2006, and other authorities, DOE HQ/NNSA Program/Staff Office, field elements, and sites (contractors) will:

- (1) Plan and implement a COOP Program. The COOP Program must be commensurate with the field element's role in supporting the execution of Departmental Mission Essential Functions (MEFs), Primary Mission Essential Functions (PMEFs), and Essential Supporting Activities (ESAs).
- (2) Document and address basic continuity planning (e.g., essential functions and activities, order of succession, delegation of authority, communication requirements, human capital, and vital records) in a COOP Plan that also addresses epidemic and pandemic events.
- (3) Ensure that COOP Programs and Plans are coordinated with the DOE COOP Plan, relevant Program Office or Staff Office Implementation Plans, appropriate Field Element Emergency Management Plans, and contractor's continuity programs, as applicable.

The Department's mission before, during and following a Continuity event is to maintain activities that ensure the accomplishment of the Department's MEFs, PMEFs, and ESAs, as identified in the DOE COOP Plan. Departmental MEFs are those functions that enable DOE to provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base. PMEFs are a subset of MEFs that must be performed in order to support or implement the performance of the National Essential Functions (NEFs) before, during, and in the aftermath of a Continuity event. ESAs are those specific activities performed to allow DOE to accomplish its MEFs and PMEFs.

The DOE CTAP is designed to ensure compliance and identify needed improvements to DOE/NNSA COOP Programs through a three step process: self-assessment, Technical Assistance Visit (TAV), and a scheduled assessment from an outside agency/department.

As required by DOE O 150.1, DOE/NNSA Program/Staff Offices, Field Elements, and contractors will conduct annual self-assessments. In addition to these assessments, a HQ team of knowledgeable individuals will be available to provide technical assistance under two conditions:

1. DOE/NNSA Program/Staff office, Field Elements, and contractors request a TAV; and/or

2. The Continuity Programs Office or other outside evaluator (DOE Office of the Inspector General, Government Accounting Office, etc.) conducts a scheduled assessment.

The results of the CTAP will be used by DOE as a mechanism to judge the overall readiness of the Department's COOP Programs. The CTAP process will not be used to grade a particular program; rather the team will provide technical support and recommend actions that will serve to help improve the specific COOP program.

DRAFT

Table of Contents

EXECUTIVE SUMMARY	3
1.0 PURPOSE.....	6
2.0 SCOPE.....	6
3.0 PROGRAM DESCRIPTION.....	6
3.1 Self Assessment.....	6
3.2 Technical Assistance Visit	7
3.3 Formal Assessments.....	7
3.4 Corrective Actions, Lessons Learned and Feedback.....	7
4.0 RESPONSIBILITIES.....	8
5.0 REFERENCES	8
CONTINUITY ASSESSMENT TOOL (CAT)	10
Using the Continuity Assessment Tool.....	11
Table A: Task Rating Criteria.....	13
Table B: Element Rating Criteria	14
Program Plans and Procedures	15
Orders of Succession.....	22
Delegations of Authority.....	25
Continuity Facilities.....	28
Continuity Communications.....	33
Vital Records Management.....	35
Human Capital	40
Test, Training, and Exercise Program.....	43
Devolution of Control and Direction.....	49
Reconstitution Operations.....	52
Operational Phases and Implementation	55

1.0 PURPOSE

The purpose of the Continuity Technical Assistance Program (CTAP) is to gauge the health of the Department's Continuity Programs and promote continual improvement through a series of self assessments, site visits, and formal assessments across the Department of Energy (DOE)/National Nuclear Security Administration (NNSA) complex. The most important goal of the CTAP is the improvement of continuity capability across the DOE complex. It also provides the mechanism for a systematic approach to evaluate the Department's Continuity Programs and ensure objectives are being achieved in accordance with the requirements of DOE O 150.1, *Continuity Programs*.

2.0 SCOPE

The CTAP has been established to assess DOE/NNSA Program/Staff Offices, Field Elements, and contractor's continuity programs across the DOE/NNSA community. The CTAP process uses a three-pronged approach; self assessment, site visits, and a scheduled assessments from an outside agency/department. Each approach builds on what has been accomplished previously, ensuring complete execution of all the elements of a viable COOP program.

3.0 PROGRAM DESCRIPTION

3.1 Self Assessment

Pursuant to DOE O 150.1, organizations are required to conduct an annual self-assessment, which is intended to allow DOE Program/Staff Offices, Field Elements, and contractors the ability to determine the viability of the subject COOP program; identify potential program shortfalls, prepare and implement corrective actions, identify, share, and build on strengths. The conduct of the self assessment is accomplished by reviewing the COOP key elements outlined below:

- Plans and Procedures
- Essential Functions
- Delegations of Authority
- Orders of Succession
- Continuity Facilities
- Continuity Communications
- Vital Files, Records, and Databases
- Human Capital
- Training, Testing, and Exercises
- Devolution of Control and Direction
- Reconstitution Operations
- Pandemic Influenza Planning

The Continuity Assessment Tool (CAT) is a series of checklists that address each of the elements of the COOP program and should be used to conduct the self-assessment. It is designed to address all areas of DOE, but each item in the CAT does not necessarily apply to every location,

due to local mission requirements. If the item does not apply to a particular location, it will not need to be assessed, and the CAT will be marked “N/A” for that area.

Results of the annual self-assessment will be documented in the annual Continuity Readiness Assurance Report (CRAR) and submitted to the Director, Office of Emergency Operations.

3.2 Technical Assistance Visit

The second approach is a Technical Assistance Visit (TAV), conducted by the HQ Continuity Programs Office. Based on a request to the Manager, Continuity Programs, a TAV team will be formed and dispatched to provide guidance/advice to the requesting organization. The team will be composed of HQ Continuity Programs Office personnel, with additional contractor support. Program and Staff offices may be tasked to provide assistance to the TAV team, if needed. The TAV will be informal and focused on the requested area of interest. A TAV team will assist the requesting organizations with the development, evaluation, and improvement of the COOP Program, using Attachment 1. TAVs are designed to help the Department’s organizations improve their COOP programs. A written report will be provided however; no corrective action response is required.

3.3 Formal Assessments

The third approach will be a scheduled formal assessment and can be conducted by any of the following: the DOE Continuity Programs Office; any DOE office, such as the HQ Program Support offices; the Office of the Inspector General, and other agencies outside the DOE/NNSA complex, such as the Government Accounting Office (GAO).

A formal assessment will be conducted at each site at least once every 3 years, as outlined in DOE O 150.1. This assessment will evaluate the organization’s compliance with applicable policies, orders, and procedures.

Assessments will be planned, developed and conducted in a systematic manner to ensure adequate review of Headquarters, Program Offices and DOE Field Elements. In order to maintain an overall situational awareness of the COOP program, assessments will be conducted in accordance with a schedule that identifies planned activities and focus areas.

The team will issue a report that will include, as applicable, best practices, areas for improvement, and effectiveness of corrective actions identified by the visit. The formal report will be completed within 30 working days of the visit. Issues identified in the report will be discussed with the organization(s) being assessed prior to leaving the site.

3.4 Corrective Actions, Lessons Learned and Feedback

DOE organizations will develop corrective actions for areas of improvement and corrective action plans for deficiencies identified during self-assessments, exercises/drills and evaluations. Corrective actions should be put into the site program and tracked to completion.

4.0 RESPONSIBILITIES

The following organizations/personnel are responsible for the indicated activities:

- DOE HQ/NNSA Continuity Programs Office:
 - Provide guidance to continuity program development, management systems and activities. Approve CTAP requests for assistance visits.
 - Review CTAP checklists annually, or as needed, to maintain compliance with changing regulations, procedures, and/or policies.
 - Develop a Technical Assistance Visit (TAV) schedule, taking into account requests from Program/Staff Offices and Field Elements.
- DOE/NNSA HQ Program/Staff Offices: Provide guidance and assessment assistance. Coordinate CTAP requests for assistance visits. Conduct an annual self-assessment of their organizational COOP program.
- Field Elements: Conduct annual validation of site (contractor) COOP-related management systems and activities. Approve and forward to DOE HQ/NNSA any requests for assistance visits. Conduct an annual self-assessment of their organizational COOP program.
- Sites: Conduct an annual self-assessment of their organization COOP program.
- CTAP Team Leader: Assumes a leadership role during pre-assistance, assistance, and post-assistance activities. Leader also provides site management interface. Team Leader must be a DOE HQ/NNSA and/or DOE Field Element employee, or a designated Federal employee.
- CTAP Team Member(s): Participate on the technical assistance team as an advisor and/or technical specialist.

5.0 REFERENCES

- Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988.
- Homeland Security Presidential Directive (HSPD) 20/National Security Presidential Directive (NSPD) 51, *National Continuity Policy*, dated May 9, 2007.
- Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*, dated February, 2008.

- Federal Continuity Directive 2, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated February, 2008.
- DOE O 150.1, *Continuity Programs*, dated April 08, 2008.
- DOE O 243.2, *Vital Records*, dated February 2, 2006.
- Department of Energy, *Continuity of Operations Plan*, dated September 22, 2006

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CONTINUITY ASSESSMENT TOOL (CAT)

CONTINUITY ASSESSMENT TOOL: DOE PROGRAM/STAFF OFFICE/FIELD ELEMENT

The purpose of the Continuity Assessment Tool is to assist in the validation and improvement of DOE/NNSA Continuity Programs, plans, and procedures.

The DOE/NNSA Continuity Assessment Tool is based upon DOE 0 150.1, and modified where necessary to make it applicable for DOE Program/Staff Office/Field Element use. Within the Continuity Assessment Tool, there are 13 continuity elements to evaluate. **Each item in the Continuity Assessment Checklist (CAT) does not necessarily apply to every location. If the item does not apply to a particular location, it will not need to be assessed and should be marked “N/A” on the checklist.**

Using the Continuity Assessment Tool

The Continuity Assessment Tool further defines each element using continuity activities and supporting tasks. The supporting tasks are evaluated on a Yes/No scale with a numerical score of 0 through 6 being equivalent to a “No,” and 7 through 10 being equivalent to a “Yes.” This progressive scoring system allows a DOE Program/Staff Office/Field Element to demonstrate progress from one assessment to the next, even if the progress is not sufficient to move the rating from a “No” to a “Yes.” Table A further defines these “Yes/No” scoring criteria. The overall assessment for each of these continuity elements will be based on the individual task, Yes/No assessments for that element. A “No” rating, for a critical task, renders the entire element as “Red,” indicating significant compliance or implementation concerns.

The Continuity Assessment Tool Task Rating Instructions:

- Answer all tasks associated with the respective continuity element, using the numerical score defined in Table A. Table A; *Task Rating Criteria*; provides criteria for rating tasks. Table B; *Element Rating Criteria*: provides the element rating criteria for all tasks.
- Tasks rated as 7 or above are designated as a “Yes” by placing the appropriate numerical score in the “Yes” box.
- Tasks rated as 6 or below are designated as a “No” by placing the appropriate numerical score in the “No” box.
- Items that are not applicable to a specific continuity program in the respective continuity element should be annotated by placing an “X” in the “Not Applicable” box.
- At the end of each continuity element there is a summary chart to denote a by-task assessment and facilitate an overall assessment for that continuity element.

CONTINUITY ASSESSMENT TOOL: DOE PROGRAM/STAFF OFFICE/FIELD ELEMENT

- **The Continuity Assessment Tool Element Rating Instructions:**
 - Identify any “No” responses for any “critical” tasks, which are those tasks denoted with an asterisk (*), within the respective continuity element. The respective continuity element automatically receives a “Red” overall rating if the answer for any critical task is rated “No.”
 - If all critical tasks within the respective continuity element are rated “Yes”, add up all tasks rated as “Yes”, where each “Yes” rating counts as 1 item, regardless of the numerical designation, including all critical ones and all tasks within all activities for the respective continuity element.
 - Determine the total number of applicable tasks, including all critical ones, within all activities within the respective continuity element. Exclude any tasks rated as “N/A” from the total number of applicable tasks for that respective element.
 - Assign a Green, Yellow, or Red rating for the respective element based on the Yes/No answers given for all applicable tasks for all activities within that respective continuity element.
 - The basis for a Green, Yellow, or Red rating is as follows:
 - GREEN:** When all critical tasks are “Yes” and at least 80% of all tasks within the respective continuity element are “Yes”, signifying that there are no significant deficiencies with the respective continuity element.
 - YELLOW:** When all critical tasks are “Yes” and between 50 to 80% of all tasks within the respective continuity element are “Yes”, signifying that there are some compliance and/or implementation concerns that may hinder, but not prevent continuity operations from occurring.
 - RED:** When any critical task is “No” or less than 50% of all tasks within the respective continuity element are “Yes”, signifying that there are significant compliance and/or implementation concerns that will prevent continuity operations from occurring.
- To determine the percentage of tasks you answered as “Yes”, divide the number of tasks rated as “Yes” by the total number of applicable tasks to determine the percentage of tasks that are “Yes”.

CONTINUITY ASSESSMENT TOOL: DOE PROGRAM/STAFF OFFICE/FIELD ELEMENT

Table A: Task Rating Criteria

	No Progress	Limited Progress			Moderate Progress			Substantial Progress			Objective Achieved
EXPLANATION	<p>No progress has been made toward achieving the identified continuity requirement or objective.</p> <p>This may be because there has been no activity in this area or because insurmountable barriers exist.</p>	<p>1-2: Preliminary efforts have been initiated. Few if any steps have been implemented successfully so far.</p> <p>3: Initial specific steps toward the objectives have been successfully implemented.</p> <ul style="list-style-type: none"> Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the requirement or objective 	<p>4-5: Significant efforts are under way but the requirement has not yet been fulfilled.</p> <ul style="list-style-type: none"> Important gaps remain. Challenges that could potentially undermine achievement exist and have not yet been resolved. <p>6: Significant efforts are under way and specific examples of progress in this area can be identified.</p> <ul style="list-style-type: none"> Strategies for closing gaps and overcoming barriers have been initiated. 			<p>7-8: Efforts to achieve this objective are established and stable.</p> <ul style="list-style-type: none"> Some weakness or barriers that prevent complete success at all organization component levels persist Shortfalls are not critical and strategies to resolve them are documented and well under way <p>9: Efforts in this area are mature.</p> <ul style="list-style-type: none"> Few gaps or barriers remain None are significant Evidence documenting this level of progress is readily available 			<p>10: Indicates the requirement and/or objective is fully achieved with regard to this capability.</p> <ul style="list-style-type: none"> All barriers to success have been overcome Strengths are robust and likely to be sustained Evidence is readily available attesting to this level of achievement 		
	0	1	2	3	4	5	6	7	8	9	10
NO							YES				

CONTINUITY ASSESSMENT TOOL: DOE PROGRAM/STAFF OFFICE/FIELD ELEMENT

Table B: Element Rating Criteria

Label	No Progress ←————→ Objective Achieved			
	<p>0-49%: Low Range:</p> <ul style="list-style-type: none"> • Minimum progress has been made towards achieving the identified objective. • One or more critical tasks may not be completed. • Preliminary efforts may have been initiated. • Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the objective. • Strategies for closing gaps and overcoming barriers to success are being developed and initiated. • Work may have begun on strategies to resolve weaknesses and barriers that persist and prevent success. • Insurmountable barriers may exist and challenges that could potentially undermine achievement may exist and might not yet been resolved. 	<p>50-79%: Mid Range:</p> <ul style="list-style-type: none"> • Significant efforts are underway and specific examples of progress in this area can be identified. • All critical tasks have been completed. • Strategies for closing gaps and overcoming barriers to success are being implemented and clear progress has been made. • Efforts to achieve this objective are established and stable. • Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well underway. 	<p>80-99%: Upper Range:</p> <ul style="list-style-type: none"> • Efforts within this continuity element are mature. • All critical tasks have been completed. • Few gaps or barriers to success remain. None are significant. • Evidence documenting this level of progress is readily available. • Efforts within this area may include addressing lessons learned from exercises or events when this element of capability was tested and demonstrated. • Strengths are robust and likely to be sustained. 	<p>100%: Completion Range:</p> <ul style="list-style-type: none"> • Indicates that the objective is fully achieved with regard to this capability. • All critical tasks have been completed. • All barriers to success have been overcome. • Strengths are robust and likely to be sustained. • Evidence is readily available attesting to this level of achievement.
Explanation				
	0-49%	50-79%	80-99%	100%
Percent Scale	RED	YELLOW	GREEN	

CONTINUITY ASSESSMENT TOOL: PROGRAM PLANS AND PROCEDURES

Program Plans and Procedures

Element Color Determination: _____

Capability Description: An effective continuity program is implemented through its related continuity plans and procedures and an effective continuity test, training, exercise, and operational capability to support those plans and procedures. An essential part of developing a comprehensive continuity plan is the establishment of planning and procedural objectives and requirements. Metrics shall be used to measure an organization’s ability to meet its continuity requirements. Continuity planning is an effort to document the existence of, and ensure the capability to continue essential functions during a wide range of potential emergencies.

Organization :	Name :	Location/Site:
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Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, an organization will be able to perform its essential functions under all circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
A.1* Continuity plans and procedures approved by the appropriate senior official or designee. [DOE O 150.1, page I-2, b.(1) (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.2* Continuity program supports and plan addresses the key elements of continuity: essential functions; orders of succession; delegations of authority; alternate facilities; interoperable communications; vital records; human capital; tests, training, and exercises (TT&E); devolution; and reconstitution. [DOE O 150.1, page I-16, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.3 Continuity plans and procedures establish internal procedures for executing changes to the Continuity of Government Readiness Conditions (COGCON), as appropriate. [DOE O 150.1, page I-3, 3.a.(2)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.4 Continuity plans and procedures provide a process for reporting continuity readiness posture and activation status to headquarters.[DOE O 150.1, page III-8, n.] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: PROGRAM PLANS AND PROCEDURES

Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, an organization will be able to perform its essential functions under all circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
A.5 Plans or procedures establish and maintain point-of-contact (POC) rosters of trained continuity personnel who are prepared and have the authority to perform essential functions. Rosters include at a minimum names and home, work, and cellular telephone numbers. [DOE O 150.1, page III-8, r.] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.6 Plans or procedures include guidance for communicating and coordinating activities with deployed and non-deployed personnel before, during, and after a continuity event [DOE O 150.1, page III-8, r.] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.7 Plans or procedures provide guidance to all staff in developing Family Support Plans, which will increase personal and family preparedness throughout the organization and support employee availability during a continuity event. [DOE O 150.1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
A.8* Plans include a process or methodology for attaining operational capability at the continuity sites(s) with minimal disruption to operations, within 12 hours of plan activation. [DOE O 150.1, page I-5, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.9* Activation and relocation plans include alert and notification procedures for all continuity personnel throughout the phases of a continuity event, including processes for monitoring the Department of Homeland Security (DHS) Homeland Security Advisory System (HSAS), the Federal Government Response Stages for Pandemic Influenza, intelligence, and other advisory information. [DOE O 150.1, page I-9, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: PROGRAM PLANS AND PROCEDURES

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
<p>A.10 Plans includes procedures for activation and relocation, including guidance for continuity personnel, in its continuity plan or within a separate implementation plan, which include instructions on moving to an alternate facility and on moving vital records (those that have not been pre-positioned) from the primary to the alternate facility. [DOE O 150.1, page I-10, b.]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>A.11 Activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation due to with and without warning events during duty hours and non-duty hours for continuity plan activation. [DOE O 150.1, page I-3, a, (2)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>A.12 Activation and relocation plans include procedures for the notification of alternate facilities and on-site support teams. [DOE O 150.1, page I-11, b, (1), (d)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>A.13 Activation and relocation plans include procedures for notifying other POCs, adjacent agencies, customers, stakeholders, and interdependent agencies of continuity plan activation and status. [DOE O 150.1, page I-10, 5, a, (3) and (4)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>A.14 Activation and relocation plans identify what drive-away kits should contain and how to maintain those kits. [DOE O 150.1, page I-15, b, (g)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>A.15 Activation and relocation plans include instructions on procuring necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. [DOE O 150.1, page III-5, q, (10)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

CONTINUITY ASSESSMENT TOOL: PROGRAM PLANS AND PROCEDURES

Activity 3: Plans or procedures include instructions for the execution of all essential functions at the alternate facility, in accordance with applicable continuity guidance and directives, that, when implemented, ensure the capability to continue essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
A.16* Plans or procedures identify the components, processes, and requirements that ensure the continued performance of the MEFs and PMEFS. [DOE O 150.1, page I-15, b, (1), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.17 Plans or procedures include reception in-processing and accounting for continuity personnel. [DOE O 150.1, page I-16, 8, b, (2), (k)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.18 Plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities. [DOE O 150.1, page I-11, 5, c, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.19 Plans or procedures include identification of replacement personnel and augmentees, as necessary. [DOE O 150.1, page I-16, 8, b, (2)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.20 Plans or procedures include provisions and procedures for assisting staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster. [DOE O 150.1, page I-16, 8, b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.21 Plans or procedures include instructions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. [DOE O 150.1, page I-16, 8, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: PROGRAM PLANS AND PROCEDURES

Tasks	A.1*	A.2*	A.3	A.4	A.5	A.6	A.7	A.8*	A.9*	A.10	A.11	Total
Yes												
No												
N/A												

Tasks	A.12	A.13	A.14	A.15	A.16*	A.17	A.18	A.19	A.20	A.21	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item*

CONTINUITY ASSESSMENT TOOL: ESSENTIAL FUNCTIONS

Essential Functions

Element Color Determination: _____

Capability Description: Essential functions are those organizational functions and activities that must be continued under any and all circumstances. These functions are derived from the organizations overall functions and missions and, when identified, should be prioritized to ensure the most important, critical functions are properly identified and emphasized, as appropriate. Essential functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

Organization:	Name:	Location/ Site:
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Activity 1: Identify and prioritize all essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
B.1* Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) are identified, documenting them in the continuity plan. [DOE O 150.1, page I-4, 3, b, (3), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
B.2 All requirements and procedures needed to perform MEFs and PMEFS are documented, such as the establishment of contingency plans, in the event that key resources are not available. [DOE O 150.1, page I-4, 3, b, (3), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
B.3 Government functions reviewed to determine those directed by applicable laws, presidential directives, executive orders, and other directives. [DOE O 150.1, page I-4, 3, b, (3), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: ESSENTIAL FUNCTIONS

Activity 2: Identify and consider the interdependencies needed to perform all essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys

Task Status

Tasks	B.1*	B.2	B.3	Total
Yes				
No				
N/A				

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: ORDERS OF SUCCESSION

Orders of Succession

Element Color Determination: _____

Capability Description: Each organizational element is required to establish, promulgate and maintain orders of succession to key positions. Orders should be of sufficient depth to ensure the organization’s ability to manage and direct its essential functions and operations.

Organization:	Name:	Location/ Site:
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Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
C.1* Orders of succession for key leaders are identified, and are current, with revisions distributed. [DOE O 150.1, page I-5, 3, c, (2), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.2* Orders of succession including but not limited to administrators, regional or field directors, key managers, other key mission essential personnel or their equivalent positions are identified in the continuity plan and are current. [DOE O 150.1, page I-5, 3, c, (2), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.3* Orders of succession are at least three positions deep, include devolution counterparts when applicable, and are geographically dispersed where feasible. [DOE O 150.1, page I-5, 3, c, (2), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.4 Orders of succession are described by positions or titles, rather than by the names of the individuals holding those offices. [DOE O 150.1, page I-5, 3, c, (2), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.5 Orders of succession reviewed by the general counsel as changes occur. [DOE O 150.1, page I-5, 3, c, (2), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: ORDERS OF SUCCESSION

Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
C.6 Orders of succession identified the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and referenced the applicable laws and directives. [DOE O 150.1, page I-5, 3, c, (2), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.7 Orders of succession procedures include temporal, geographical, and/or organization limitations to the authorities in its. [DOE O 150.1, page I-5, 3, c, (2), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.8 Orders of succession procedures were included as a vital record and copies were accessible and/or available at both the primary and alternate facilities. [DOE O 150.1, page I-7, 3, c, (5), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Notify and train successors to leadership positions with all training sessions recorded within training records.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
C.9 Plans and procedures include the method used to notify successors of their change in leadership status in its orders of succession procedures. [DOE O 150.1, page II-2, 4, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.10 Organization conducted annual successor training for all personnel who assume the authority and responsibility of leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation, to include briefing successors to the position of organization head on their duties and responsibilities as a successor, as reflected in training records. [DOE O 150.1, page I-7, a, (3), (c), 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: ORDERS OF SUCCESSION

Tasks	C.1*	C.2*	C.3*	C.4	C.5	C.6	C.7	C.8	C.9	C.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: DELEGATIONS OF AUTHORITY

Delegations of Authority

Element Color Determination: _____

Capability Description: Delegations of authority specify who is authorized to act on behalf of the senior leader or other officials for specified purposes. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when those channels have been reestablished. Delegations of authority at the headquarters (HQ), regional, field, satellite, and other locations, as appropriate, are included in the applicable continuity implementation plans.

Organization:	Name:	Location/ Site:
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Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key leadership positions at the regional, field, satellite, and other locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
D.1* Delegation of authority documented in advance (where designated) the legal authority for officials to make key policy decisions during a continuity situation. [DOE O 150.1, page I-5, 3, c, (1), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.2* Delegation of authority outlined explicitly in a statement, the authority of an official so designated, to exercise direction. [DOE O 150.1, page I-5, 3, c, (1), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.3 Delegations of authority included in the vital records. [DOE O 150.1, page I-6, 3, c, (5), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.4 Delegation of authority was written in accordance with applicable laws ensuring that Primary Mission Essential Functions (PMEFs) and Mission Essential Functions (MEFs) are performed. [DOE O 150.1, page I-5, 3, c, (5), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: DELEGATIONS OF AUTHORITY

Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key leadership positions at the regional, field, satellite, and other locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
D.5 Delegation of authority delineated the limits of and any exceptions to the authority and accountability for officials. [DOE O 150.1, page I-5, 3, c, (1), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.6 Delegation of authority outlined explicitly in a statement, the authority of an official to re-delegate functions and activities, as appropriate. [DOE O 150.1, page I-5, 3, c, (1), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.7 Delegation of authority defined the circumstances, to include a devolution situation if applicable, under which delegation of authorities would take effect and would be terminated. [DOE O 150.1, page I-5, 3, c, (1), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Inform and train key officials on delegations of authority, recording all training sessions within training records, so that the organization can transfer leadership authority in an orderly manner, when applicable, during a response to any emergency.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
D.8* Officials who might be expected to assume authorities during a continuity situation are informed, as required by its delegations of authority. [DOE O 150.1, page I-5, 3, c, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.9 Officials mentioned in E.8 are trained at least annually, for all pre-delegated authorities for making policy determinations and other decisions, as reflected in training records. [DOE O 150.1, page I-4, 3, b, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: DELEGATIONS OF AUTHORITY

Tasks	D.1*	D.2*	D.3	D.4	D.5	D.6	D.7	D.8*	D.9	Total
Yes										
No										
N/A										

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: CONTINUITY FACILITIES

Continuity Facilities

Element Color Determination: _____

Capability Description: Continuity facilities are locations where leadership and staff may operate during a continuity event. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, endurable operations. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location.

Organization:	Name:	Location/ Site:
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Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
E.1* At least one alternate facility is identified and maintained, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the organization’s ability to initiate and sustain operations is minimized. [DOE O 150.1, page I-5, 3, c, (3), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.2* Alternate facilities had sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility. [DOE O 150.1, page I-5, 3, c, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.3* A signed Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) is present for all alternate facilities co-located with another agency or for alternate facilities neither owned nor leased, as applicable. [DOE O 150.1, page I-5, 3, c, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.4 All alternate facility leases and MOAs/MOUs are reviewed annually. [DOE O 150.1, page I-5, 3, c, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.5 An all-hazards risk assessment has been performed that included identification of all hazards that may affect each facility, for all continuity facilities. [DOE O 150.1, page I-5, 3, c, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: CONTINUITY FACILITIES

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.6	Risk assessment included a vulnerability assessment that determined the effects of all hazards on each facility. [DOE O 150.1, page I-5, 3, c, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.7	Risk assessment included a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility. [DOE O 150.1, page I-5, 3, c, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.8	Risk assessment included a formal analysis by management of acceptable risk for each facility. [DOE O 150.1, page I-5, 3, c, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.9	Alternate facilities are evaluated, to include virtual office options including telework, for suitability and functionality, at least annually and whenever continuity plans were reviewed and updated. [DOE O 150.1, page I-6, 3, c, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.10	Alternate facilities are identified and the necessary data is provided to GSA using Standard Form 336, when applicable. [DOE O 150.1, page I-6, 3, c, (3), (e)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Equip all alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.11*	Alternate facilities include considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products, in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed. [DOE O 150.1, page I-6, 3, c, (3), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: CONTINUITY FACILITIES

Activity 2: Equip all alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
<p>E.12* Alternate facilities, to include virtual office options including telework, include reliable logistical support, services, and infrastructure systems, such as information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out MEFs and PMEFS for up to 30 days or until normal business activities can be resumed. [DOE O 150.1, page I-6, 3, c, (3), (d)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>E.13* Alternate facilities, to include virtual office options including telework, provide sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFS), as appropriate, and support staff. [DOE O 150.1, page I-6, 3, c, (3), (d)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>E.14 Procedures are established for the orientation of continuity personnel and for conducting operations and administration at all alternate facilities. [DOE O 150.1, page I-3, 3, a, (4)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>E.15 Alternate facilities, to include virtual office options including telework, replicate essential capabilities by providing systems and configurations that are used in daily activities. [DOE O 150.1, page I-6, 3, c, (3), d, 5]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>E.16 Plans and procedures identify the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework. [DOE O 150.1, page I-6, 3, c, (3), d, 6]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>E.17 Alternate facilities, to include virtual office options including telework, have pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. [DOE O 150.1, page I-4, 3, c, (3), (d), 5]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

CONTINUITY ASSESSMENT TOOL: CONTINUITY FACILITIES

Activity 3: Provide survivable protection and sustain continued, endurable operations under any circumstances from all alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
E.18* Alternate facilities maintain emergency/back-up power capability, so that essential functions and operations continue in the event the primary source of power is disrupted. [DOE O 150.1, page I-6, 3, c, (3), d, 4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.19 Within the past year, personnel were trained and prepared for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options including telework, as reflected in training records. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.20 Alternate facilities defined a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that described procedures for continuity events both with warning and without warning. [DOE O 150.1, page I-6, 3, c, (3), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.21 Continuity plans addressed housing to support continuity personnel at or near the alternate facility sites. [DOE O 150.1, page I-6, 3, c, (3), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: CONTINUITY FACILITIES

Tasks	E.1*	E.2*	E.3*	E.4	E.5	E.6	E.7	E.8	E.9	E.10	E.11*	Total
Yes												
No												
N/A												

Tasks	E.12*	E.13*	E.14	E.15	E.16	E.17	E.18*	E.19	E.20	E.21	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: CONTINUITY COMMUNICATIONS

Continuity Communications

Element Color Determination: _____

Capability Description: The success of continuity programs is dependent on the availability of robust and effective communications to provide Federal intra- and interagency connectivity. An organization’s ability to execute its essential functions at its HQ and at its alternate or other continuity facilities, as well as the ability of the senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depends upon the availability of effective communications systems. These systems must support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.

Organization:	Name:	Location/ Site:
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Activity 1: Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys

Task Status

F.1* Minimum communications requirements are implemented, in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 (continuity communications), as applicable, for its primary/ alternate and other continuity facilities, which support the continuation of Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) and support connectivity between and among key leaders, internal elements, other agencies, critical partners, and the public. [DOE O 150.1, page II-2, 2, c]

Comments:

Completed?
 Yes No N/A

CONTINUITY ASSESSMENT TOOL: CONTINUITY COMMUNICATIONS

Activity 2: Verify that communications systems meet all needs, including those mandated by applicable directives and regulations, and train personnel on and test all continuity communications systems that support full connectivity, under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
F.2	The communications capabilities required by the National Communications System’s (NCS) Directive 3-10, as reflected in testing records are maintained and readily available for a period of sustained usage of no less than 30 days, or until normal operations could be reestablished. [DOE O 150.1, page II-2, 2, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.3	Continuity personnel are trained , as appropriate, in the use of the communications capabilities and information technology (IT) systems required by NCS Directive 3-10 to be used during a continuity event, as reflected in training records. [DOE O 150.1, page II-2, 2, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.4	Plans and procedures provide assured and priority access to communications resources, such as Government Emergency Telephone Service (GETS), Wireless Priority Service (WPS), and Telecommunications Service Priority (TSP). [DOE O 150.1, page II-2, 2, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.5	Fully capable continuity communications that support needs during all hazards events are maintained, including pandemic and other related emergencies, and giving full consideration to supporting social distancing operations, including telework and other virtual offices. [DOE O 150.1, page II-2, 2, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	F.1*	F.2	F.3	F.4	F.5	Total
Yes						
No						
N/A						

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: VITAL RECORDS MANAGEMENT

Vital Records Management
Element Color Determination: _____

Capability Description: Continuity programs, plans, and procedures should account for identification and protection of those vital records and mission critical systems and databases, to include classified or sensitive data as applicable, that are necessary to perform essential functions and activities, and to reconstitute normal operations after the emergency ceases. Agencies should pre-position, and update on a regular basis, duplicate records and databases or back-up electronic media. The Vital Records Program must be reviewed periodically and updated accordingly.

Organization:	Name:	Location/ Site:
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Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
G.1* Vital records program identified and protected those records that specified how an organization will immediately operate and continue to operate during a continuity situation. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.2* Vital records program identified those records needed to protect the legal and financial rights of the Government and citizens. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.3 Vital records program is incorporated into overall continuity programs, plans, and procedures. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.4 Vital records program includes appropriate policies, authorities, procedures, and the written designation of a vital-records manager. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: VITAL RECORDS MANAGEMENT

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
G.5 A complete inventory of vital records is maintained, along with locations of and instructions on accessing those records. [DOE O 150.1, page I-7, 3, c, (5), d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Maintain access to all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity situation.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
G.6* Vital records are, at a minimum annually reviewed, rotated, or cycled so that the latest version will be available. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.7 Inventory of vital records is maintained at an alternate site. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.8 Risk assessment has been performed to identify risks if vital records are retained in current locations and media, and the difficulty of reconstituting them if they are destroyed. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.9 Appropriate protections for vital records and for dispersing those records to other locations are in place. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: VITAL RECORDS MANAGEMENT

Activity 3: Create and maintain a vital records plan packet that includes all applicable materials needed during continuity operations.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
G.10 Vital records plan packet or collection that included a hard copy or electronic list of key personnel and continuity personnel with up-to-date telephone numbers has been developed and maintained. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.11 Organization developed and maintained a vital records plan packet or collection that contained an inventory with precise locations of vital records. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.12 Organization developed and maintained a vital records plan packet or collection that contained the necessary keys or access codes. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.13 Organization developed and maintained a vital records plan packet or collection that listed alternate operating facility locations. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.14 Organization developed and maintained a vital records plan packet or collection that had a listing of the access requirements and lists of the sources of equipment necessary to access the records. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.15 Organization developed and maintained a vital records plan packet or collection that listed records recovery experts or vendors. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.16 Organization developed and maintained a vital records plan packet or collection that included a copy of the organization's continuity plans. [DOE O 150.1, page I-7, 3, c, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: VITAL RECORDS MANAGEMENT

Activity 3: Create and maintain a vital records plan packet that includes all applicable materials needed during continuity operations.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
<p>G.17 Organization reviewed its vital records plan packet or collection within the past year with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current and with a copy of the review maintained at the alternate facility. [DOE O 150.1, page I-7, 3, c, (5)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

Activity 4: Review, train, and test vital records program and capabilities, with all training and testing sessions recorded within records.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
<p>G.18* Vital records program was reviewed annually to address new security issues, identify problem areas, update information, and incorporate any additional vital records generated by new programs or functions or by organizational changes to existing programs or functions. [DOE O 150.1, page I-7, 3, c, (5)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>G.19 Annual training has been conducted regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital-records program and its relationship to their vital-records and business needs, as reflected in training records. [DOE O 150.1, page I-7, 3, c, (5)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>G.20 Organization annually tested capabilities for protecting classified and unclassified vital records, and for providing access to them from the alternate facility, as reflected in testing records. [DOE O 150.1, page I-7, 3, c, (5)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

CONTINUITY ASSESSMENT TOOL: VITAL RECORDS MANAGEMENT

Tasks	G.1*	G.2*	G.3	G.4	G.5	G.6*	G.7	G.8	G.9	G.10	Total
Yes											
No											
N/A											

Tasks	G.11	G.12	G.13	G.14	G.15	G.16	G.17	G.18*	G.19	G.20	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: HUMAN CAPITAL

Human Capital

Element Color Determination: _____

Capability Description: In a continuity event, continuity personnel and other special categories of employees will be activated by an organization to perform their assigned response duties. Plans and procedures for all employees should be included or referenced in the continuity plans, as well as in other types of emergency response planning documents. An organization must ensure that its human capital strategies for its continuity personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are regularly reviewed and updated, as appropriate.

Organization:	Name:	Location/ Site:
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Activity 1: Identify continuity leadership and staff and establish human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during continuity plan activation.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
H.1* Positions and personnel critical to operations in any given Continuity situation are identified and designated as members of the Continuity Emergency Relocation Group (CERG) or other specific continuity related body. [DOE O 150.1, page I-16, 8, b, (2), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.2* Continuity personnel possess the skill sets necessary to perform essential functions and supporting tasks. [DOE O 150.1, page I-4, 3, b, (5)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.3 Continuity personnel are identified and documented. [DOE O 150.1, page I-4, 3, b, (4)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.4 Continuity personnel are officially informed of their roles or designations by providing documentation to ensure they know and accept their roles and responsibilities. [DOE O 150.1, page I-7, 3, c, (6), (e)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: HUMAN CAPITAL

Activity 1: Identify continuity leadership and staff and establish human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during continuity plan activation.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
H.5 Procedures are established for contacting and accounting for employees during a Continuity Event. [DOE O 150.1, page I-7, 3, c, (6), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.6 Human Capital liaison, from the human resources staff, is identified to work with the Continuity Coordinator or Continuity Manager when developing or updating the Continuity plans. [DOE O 150.1, page I-7, 3, c, (6), (e)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.7 Continuity programs, plans, or procedures include or reference specific guidance and direction for continuity personnel on human-capital issues. [DOE O 150.1, page I-7, 3, c, (6), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Communicate and train personnel on applicable human capital procedures and considerations related to continuity.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
H.8 Procedures are established to communicate how, and the extent to which, employees are expected to remain in contact with management during any closure situation. [DOE O 150.1, page I-7, 3, c, (6), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.9 Continuity personnel participate in their continuity test, training, and exercise (TT&E) program, as reflected in training records. [DOE O 150.1, page I-7, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.10 Guidance is provided to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. [DOE O 150.1, page I-7, 3, c, (6), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.11 Staff are aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help agencies continue essential functions during an emergency. [DOE O 150.1, page I-7,3, a, (6), (c)]	Completed? <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: HUMAN CAPITAL

Activity 2: Communicate and train personnel on applicable human capital procedures and considerations related to continuity.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
Comments:	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 3: Develop and integrate human capital strategies for all personnel during continuity activation.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys	Task Status
H.12 Process has been developed to communicate instructions with continuity personnel before, during, and after a continuity event. [DOE O 150.1, page I-7, 3, c, (6), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.13 Process has been developed to communicate the operating status with all staff. [DOE O 150.1, page I-7, 3, c, (6), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.14 Process has been developed to communicate Human Capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other Human Capital flexibilities) to managers in an effort to help agencies continue essential functions during an emergency. [DOE O 150.1, page I-7, 3, c, (6), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	H.1*	H.2*	H.3	H.4	H.5	H.6	H.7	H.8	H.9	H.10	H.11	H.12	H.13	H.14	Total
Yes															
No															
N/A															

An Asterisk (*) after a task number denotes critical task item

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Test, Training, and Exercise Program

Element Color Determination: _____

Capability Description: An effective Test, Training, and Exercise (TT&E) program is necessary to assist agencies to prepare and validate their organization’s continuity capabilities and program and support the Federal executive branch’s ability to perform PMEFs and MEFs during any emergency. The test, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving an organization’s ability to execute its continuity program, plans, and procedures. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of essential functions during a continuity event. Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.

Organization:	Name:	Location/ Site:
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Activity 1: Create, execute, and document an effective continuity testing program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
I.1* Continuity Test, Training, & Exercise (TT&E) program has been developed and maintained for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of MEFs and PMEFs. [DOE O 150.1, page I-7, 4, a, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.2* Quarterly testing of alert, notification, and activation procedures for all continuity personnel has been performed. [DOE O 150.1, page I-8, 4, a, (4), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.3* Annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities has been conducted. [DOE O 150.1, page I-9, 4, a, (4), (f)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.4* Organization tested and validated equipment to ensure the internal and external interoperability and viability of communications systems, through monthly testing of the continuity communications capabilities. [DOE O 150.1, page I-9, 4, a, (4), (f)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Activity 1: Create, execute, and document an effective continuity testing program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.5*	Capabilities required to perform the Mission Essential Functions (MEFs) are tested annually. [DOE O 150.1, page I-9, 4, a, (5), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.6	Conducted annual testing of plans for recovering vital records (both classified and unclassified), critical information systems, services, and data. [DOE O 150.1, page I-9, 4, a, (4), (e)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.7	Organization conducted annual testing and exercising of required physical security capabilities at its alternate facilities. [DOE O 150.1, page I-9, 4, a, (4), (f)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.8	All conducted tests and their results are formally documented and reported, as applicable. [DOE O 150.1, page I-9, 4, b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Create, execute, and document an continuity training program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.9*	Annual training is conducted on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.10	Annual continuity awareness briefings (or other means of orientation) for the entire workforce are conducted. [DOE O 150.1, page I-8, 4, a, (3), (b)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Activity 2: Create, execute, and document an continuity training program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		Task Status
I.11	Annual training is conducted for the leadership on the Primary Missions Essential Functions (PMEFs) and Mission Essential Functions (MEFs), including training on their continuity responsibilities. [DOE O 150.1, page I-8, 4, a, (3), (e)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.12	Personnel briefings are conducted on continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.13	Annual training is conducted for all reconstitution plans and procedures to resume normal operations from the original or replacement primary operating facility. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 3: Create, execute, and document an effective exercise program that demonstrates, assesses, and improves the ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		Task Status
I.14	TT&E program provides an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to demonstrate the capability to continue its essential functions. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.15	An annual exercise was conducted that incorporated the deliberate and preplanned movement of continuity personnel to an alternative facility or location. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.16	TT&E program provides an opportunity to demonstrate continuity communications capabilities. [DOE O 150.1, page I-9, 4, a, (5), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Activity 3: Create, execute, and document an effective exercise program that demonstrates, assesses, and improves the ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.17	TT&E program provides an opportunity to demonstrate that backup data and records required for supporting essential functions at alternate facilities or locations are sufficient, complete, and current. [DOE O 150.1, page I-8, 4, a, (3), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.18	TT&E program provides an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate. [DOE O 150.1, page I-8, 4, a, (3), (a)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.19	TT&E program provides an opportunity for continuity personnel to demonstrate their familiarity with devolution procedures. [DOE O 150.1, page I-8, 4, a, (3), (c)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.20	A comprehensive debriefing or hotwash is conducted after each exercise, which allowed participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the continuity plan. [DOE O 150.1, page I-9, 4, a, (5), (d)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 4: Maintain a Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.21	A Corrective Action Program (CAP) has been developed to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.22	Evaluations, after-action reports, and lessons learned from a cycle of events are incorporated into the development and implementation of its CAP. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Activity 4: Maintain a Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization’s ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
I.23 Continuity personnel conduct annual assessments of their continuity TT&E programs and continuity plans and programs. [DOE O 150.1, page I-14,7, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.24 Continuity personnel report the findings of all annual assessments. [DOE O 150.1, page I-14,7, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.25 CAP identifies continuity deficiencies and other areas requiring improvement. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.26 CAP provides responsibilities and a timeline for corrective action. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.27 CAP identifies program and other continuity funding requirements for submission to leadership and the Continuity Programs Manager. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.28 CAP identifies and incorporates efficient acquisition processes, and where appropriate, collected all interagency requirements into one action. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.29 CAP identifies continuity personnel requirements for leadership and their supporting Human Capital Offices where appropriate. [DOE O 150.1, page I-13,7, b, (1)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: TEST, TRAINING, AND EXERCISE PROGRAM

Tasks	I.1*	I.2*	I.3*	I.4*	I.5*	I.6	I.7	I.8	I.9*	I.10	I.11	I.12	I.13	I.14	I.15	Total
Yes																
No																
N/A																

An Asterisk () after a task number denotes critical task item.*

Tasks	I.16	I.17	I.18	I.19	I.20	I.21	I.22	I.23	I.24	I.25	I.26	I.27	I.28	I.29	Total
Yes															
No															
N/A															

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: DEVOLUTION OF CONTROL AND DIRECTION

Devolution of Control and Direction

Element Color Determination: _____

Capability Description: Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an leadership and key staff unavailable to or incapable of performing its essential functions from either the primary or alternate facilities. Devolution planning also addresses notice and no notice events. A continuity plan’s devolution option should be developed so that it addresses how an organization will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the alternate facility is not available or the option can be activated as a continuity measure.

Organization:	Name:	Location/ Site:
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Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
J. 1* Devolution plan includes the elements of a viable continuity capability: program plans and procedures; budgeting and acquisitions; essential functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J. 2* Devolution plan identifies prioritized essential functions and defines the tasks that support those essential functions. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.3* Devolution plan maintains a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: DEVOLUTION OF CONTROL AND DIRECTION

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		Task Status
J.4*	Devolution plan identifies what would likely activate or “trigger” the devolution option and specified how and when direction and control of operations will be transferred to and from the devolution site. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.5	Capability is established and maintained to restore or reconstitute authorities to their pre-event status upon termination of devolution. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Develop a devolution plan or procedures that address the resource and training considerations needed to transfer essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		Task Status
J.6	Necessary resources are determined to facilitate the immediate and seamless transfer of essential functions to the devolution site. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.7	Necessary resources are listed or referenced (i.e., equipment and materials) to facilitate the performance of essential functions at the devolution site within the devolution section of its continuity plan. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.8	Reliable processes and procedures are established and maintained for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: DEVOLUTION OF CONTROL AND DIRECTION

Activity 2: Develop a devolution plan or procedures that address the resource and training considerations needed to transfer essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.9	Annual training is conducted on an organization’s devolution option for continuity, addressing how to identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency and documented the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.10	Corrective action program (CAP) supports the devolution program. [DOE O 150.1, page I-11, 5, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	J.1*	J.2*	J.3*	J.4*	J.5	J.6	J.7	J.8	J.9	J.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: RECONSTITUTION OPERATIONS

Reconstitution Operations

Element Color Determination: _____

Capability Description: Organization must identify and outline a plan to return to normal operations once heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.

Organization:	Name:	Location/ Site:
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Activity 1: Identify and outline a reconstitution plan and procedures so that the is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once organization heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
K.1* An executable plan is provided for recovering from the effects of a Continuity event and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption had passed. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.2 Plans or procedures include reconstitution plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate. [DOE O 150.1, page I-12, 6, b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.3 Options for reconstitution are coordinated and preplanned, regardless of the level of disruption that originally prompted the organization to implement its continuity plan. [DOE O 150.1, page I-12, 6, b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.4 Reconstitution plan includes moving operations from the continuity or devolution locations to either the original operating facility or new operating facility. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: RECONSTITUTION OPERATIONS

Activity 1: Identify and outline a reconstitution plan and procedures so that the is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once organization heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

	Tasks/Observation Keys	Task Status
K.5	Necessary procedures, whether under a standard continuity scenario or a devolution scenario, are outlined or referred to for conducting a smooth transition from the relocation sites to a new facility. [DOE O 150.1, page I-12, 6, b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.6	Plans or procedures have been developed to inform all personnel that the actual emergency or threat of an emergency no longer exists. [DOE O 150.1, page I-12, 6, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.7	Plans or procedures have been developed to instruct personnel on how to resume normal operations. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.8	Plans or procedures have been developed to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.9	Plans or procedures have been developed to verify that all systems, communications, and other required capabilities were available and operational and that the organization is fully capable of accomplishing all essential functions and operations at the new or restored facility. [DOE O 150.1, page I-12, 6, c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.10	Plans or procedures have been developed to identify any records affected by the incident. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.11	Plans or procedures have been developed to work with its records office to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [DOE O 150.1, page I-12, 6, a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: RECONSTITUTION OPERATIONS

Activity 2: Develop plans and procedures to identify areas for improvement and remedy these items during reconstitution activities to improve the capability to execute the continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		Task Status
K.12	Plans or procedures have been developed to conduct an after-action review of the effectiveness of the continuity plans and procedures. [DOE O 150.1, page I-12, 6, f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.13	Plans or procedures have been developed to identify areas for improvement from the after-action review. [DOE O 150.1, page I-12, 6, f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.14	Plans or procedures have been developed to document findings in the corrective action plan (CAP). [DOE O 150.1, page I-12, 6, f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.15	Remedial action plan was developed as soon as possible after the reconstitution. [DOE O 150.1, page I-12, 6, f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	K.1*	K.2	K.3	K.4	K.5	K.6	K.7	K.8	K.9	K.10	K.11	K.12	K.13	K.14	K.15	Total
Yes																
No																
N/A																

An Asterisk () after a task number denotes critical task item.*

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Operational Phases and Implementation

Element Color Determination: _____

Capability Description: An organization must be prepared to implement executive decisions that are based upon a review of the emergency, and determine the best course of action based on the current readiness posture. The organization should integrate implementation procedures and criteria into its continuity plans. The continuity plan must address the four phases of (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of essential functions before, during, and after an emergency or disaster and under all conditions.

Note: This portion of the checklist should only be used during to evaluate an exercise or actual continuity event.

Organization:	Name:	Location/ Site:
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Activity 1: Respond to continuity events through completion of readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.1* Procedures for the readiness and preparedness phase within the organization’s continuity plan or within a separate implementation plan were followed. [DOE O 150.1, page I-15, 8, b, (1) ; DOE O 150.1, page I-16, b, (3); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.2* Procedures for the activation and relocation phase within the continuity plan or within a separate implementation plan were followed. [DOE O 150.1, page I-15, 8, b, (1), (d); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.3 A decision matrix was used for continuity plan activation that addressed with and without warning events, those occurring during duty hours and non-duty hours, in making the decision to activate the continuity plan. [DOE O 150.1, page I-16, 8, b, (2), (e); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.4 All employees (continuity essential personnel and non-deployed personnel) were notified of a continuity event. [DOE O 150.1, page I-16, 8, b, (2), (j); DOE O 150.1, page I-16, b, (3), (j); DOE O 150.1, page I-17, 8, (3), (j)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 1: Respond to continuity events through completion of readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.5 Organization activated personnel, vital records and databases, and equipment involved with the continuation of essential functions with minimal disruption. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-17, b, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.6 All personnel were accounted for. [DOE O 150.1, page I-16, 8, b, (1), (d) ; DOE O 150.1, page I-17, b, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.7 Instructions and operating status were communicated with continuity personnel before, during, and after a continuity event. [DOE O 150.1, page I-16, 8, b, (1), (j); DOE O 150.1, page I-17, 8, (3), (j)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.8 Human capital guidance was utilized for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities), as needed, to help the organization continue essential functions during an emergency. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Respond to continuity events through completion of relocation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions..

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.9 Points of Contact (POCs) notified HQ, as well as other appropriate agencies, of any continuity activation within the organization or subordinate organizations and of the time of execution or activation of call-down procedures. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 2: Respond to continuity events through completion of relocation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions..

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L.10	Alternate facilities and on-site support teams were notified of an activation and relocation. [DOE O 150.1, page I-16, 8, b, (2), (e); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.11	HQ was notified of its continuity activation and relocation status, the organization's alternate location, operational and communications status, and anticipated duration of relocation. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.12	Other POCs, agencies that the affected agency interacts with, customers, and stakeholders, were notified of the activation of continuity plans and status. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.13	Personnel followed the continuity plan instructions on moving personnel and vital records to its alternate facilities. [DOE O 150.1, page I-16, 8, b, (2), (i); DOE O 150.1, page I-16, 8, (3), (i)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.14	Personnel utilized drive-away kits, as applicable. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 3: Respond to and attain operational capability during continuity events through completion of continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
<p>L.15* Organization demonstrated the capability to perform its Primary Mission Essential Functions (PMEFs) within 12 hours after an event and under all threat conditions, from its alternate facilities, to include virtual office options including telework, including the ability to maintain this capability for up to 30 days after an event or until normal business activities can be resumed. [DOE O 150.1, page I-16, 8, b, (2), (c); DOE O 150.1, page I-17, 8, (3), (c)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.16* Organization attained operational capability and demonstrated the capability to perform its Mission Essential Functions (MEFs) at its continuity sites with minimal disruption to operations, within 12 hours of activation. [DOE O 150.1, page I-16, 8, b, (2), (c); DOE O 150.1, page I-17, 8, (3), (c)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.17* Responsibilities were transitioned from the primary operating facility to the deployed continuity personnel, once they were in place at the continuity facilities. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.18* Personnel stationed at the designated devolution site, with the appropriate authorities, skills and abilities, performed the essential functions and activities when the devolution option of the continuity plan was activated. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.19* Organization identified all available leadership at its alternate facilities and conducted the orderly and pre-defined transition of leadership, for the position of organization head as well as for key supporting positions, in accordance with its delegations of authority, as applicable during an emergency. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.20* Alternate facilities provided a sufficient quantity and mode/media of interoperable and available redundant and survivable communication capabilities to enable performance of all essential functions. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>L.21 Necessary equipment/supplies needed to support and continue essential functions and sustain operations which had not already been in place was procured. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)]</p> <p>Comments:</p>	<p>Completed?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 3: Respond to and attain operational capability during continuity events through completion of continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.22 Reception and in-processing of continuity personnel was conducted. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.23 Continuity personnel understood their roles and responsibilities. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.24 Organization provided guidance to non-deployed personnel. [DOE O 150.1, page I-15, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.25 Alternate facilities, to include virtual office options including telework, provided the capabilities to access and use vital records necessary to facilitate the performance of essential functions within twelve hours of a COOP activation, to include having access to the appropriate media for accessing vital records such as local area network, electronic versions of vital records, supporting information systems and data, internal and external e-mail and e-mail archives and hard copies of vital records. [DOE O 150.1, page I-16, 8, b, (2), (i) ; DOE O 150.1, page I-17, 8, (3), (i)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.26 Delegations of authority were available at continuity locations, to include devolution sites if applicable. [DOE O 150.1, page I-16, 8, b, (2), (f) ; DOE O 150.1, page I-17, 8, (3), (f)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.27 Replacement personnel and augmentees were identified and alerted, as necessary. [DOE O 150.1, page I-16, 8, b, (2), (j) ; DOE O 150.1, page I-17, 8, (3), (j)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.28 Organization complied with any additional continuity reporting requirements from higher HQ. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.29 Alternate facilities provided sufficient levels of physical security to protect against all threats as identified in the facility’s risk assessment and physical-security surveys by the security office, to include identifying technologies that control site access, conduct site surveillance, and provide early warning of unauthorized intrusion as part of the alternate facility’s physical security program. [DOE O 150.1, page I-16, 8, b, (2), (h) ; DOE O 150.1, page I-17, 8, (3), (h)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 3: Respond to and attain operational capability during continuity events through completion of continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.30 Alternate facilities, to include virtual office options including telework, provided sufficient levels of information security to protect against all threats as identified in the facility’s risk assessment and information security surveys by the applicable Information Technology office. [DOE O 150.1, page I-16, 8, b, (2), (h); DOE O 150.1, page I-17, 8, (3), (h)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 4: Reestablish normal operations and refine the continuity program and plans after a continuity event through completion of reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys	Task Status
L.31* Organization verified that all systems, communications, and other required capabilities were available and operational at the new or restored facility and was fully capable of accomplishing all essential functions and operations at the new or restored facility. [DOE O 150.1, page I-16, 8, b, (2), (h); [DOE O 150.1, page I-17, 8, (3), (h)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.32 Organization accessed the status of affected facilities. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.33 Organization determined how much time is needed to repair the affected facility and/or to acquire a new facility. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.34 Facility repairs were supervised. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.35 Decision makers were notified of the status of repairs, including estimates of when the repairs will be completed. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 4: Reestablish normal operations and refine the continuity program and plans after a continuity event through completion of reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk (*) after a task number denotes critical task item.

Tasks/Observation Keys		Task Status
L.36	A priority-based phased approach to reconstitution was implemented. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.37	All personnel were informed that the actual emergency or threat of an emergency no longer existed. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.38	Personnel were instructed how to resume normal operations. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.39	Organization supervised a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [DOE O 150.1, page I-16, 8, b, (2); DOE O 150.1, page I-16, 8, (3)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.40	Records affected by the incident were identified. [DOE O 150.1, page I-16, 8, b, (2), (i); DOE O 150.1, page I-17, 8, (3), (i)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.41	Organization worked with its records office (or similar function) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [DOE O 150.1, page I-16, 8, b, (2), (i); DOE O 150.1, page I-17, 8, (3), (i)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.42	An after-action review was conducted upon return to the restored or new primary facility to determine the effectiveness of its continuity of operations plans and procedures. [DOE O 150.1, page I-16, 8, b, (2), (m); DOE O 150.1, page I-17, 8, (3), (m)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.43	The after-action review of continuity of operations plans and procedures identified aspects of the continuity of operations plans and procedures that needed correction along with areas for improvement and assigned responsibility for making those corrections and improvements. [DOE O 150.1, page I-16, 8, b, (2), (m); DOE O 150.1, page I-17, 8, (3), (m)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

CONTINUITY ASSESSMENT TOOL: OPERATIONAL PHASES AND IMPLEMENTATION

Activity 4: Reestablish normal operations and refine the continuity program and plans after a continuity event through completion of reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys

Task Status

L.44	Findings were documented in the corrective action plan (CAP). [DOE O 150.1, page I-16, 8, b, (2), (m); DOE O 150.1, page I-17, 8, (3), (m)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.45	A remedial action plan was developed as soon as possible after the reconstitution. [DOE O 150.1, page I-16, 8, b, (2), (m); DOE O 150.1, page I-17, 8, (3), (m)] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	L.1*	L.2*	L.3	L.4	L.5	L.6	L.7	L.8	L.9	L.10	L.11	L.12	L.13	L.14	L.15*	L.16*	Total
Yes																	
No																	
N/A																	

Tasks	L.17*	L.18*	L.19*	L.20*	L.21	L.22	L.23	L.24	L.25	L.26	L.27	L.28	L.29	L.30	L.31*	L.32	Total
Yes																	
No																	
N/A																	

Tasks	L.33	L.34	L.35	L.36	L.37	L.38	L.39	L.40	L.41	L.42	L.43	L.44	L.45	Total
Yes														
No														
N/A														

An Asterisk () after a task number denotes critical task item.*

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