



Emergency Management Issues Special Interest Group Annual Meeting

CONTINUITY PROGRAM OVERVIEW

May 2-5, 2011 Charleston Marriott • Charleston, South Carolina



Agenda

- **Continuity Program Staff**
- **COOP History**
- **Continuity of Operations Planning**
- **Devolution**
- **Reconstitution**
- **Eagle Horizon 2011**
- **Dialogic Notification**
- **Continuity Technical Assistance Program (CTAP)**
- **Continuity Assessment Tool (CAT)**
- **COOP Awareness Briefing**

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COOP History

- By executive order, President Eisenhower provided various measures intended to ensure the U.S. Government could continue in case of nuclear war.
- These plans were kept tightly under wraps, partly out of fear that knowledge of these plans would enable adversaries to more effectively launch a nuclear attack, and fear of public panic.

COOP History (cont.)

- These plans regained prominence after the September 11, 2001, when fears arose that an attack could destroy significant parts of the Government in a short period of time.
- The George W. Bush Administration put the Continuity of Operations plan into effect for the first time directly following September 11, 2001.
 - This involved the act of relocating senior cabinet officials and other Government workers to undisclosed locations.

emi sig

EMERGENCY MANAGEMENT ISSUES
SPECIAL INTEREST GROUP

Buster the bomber dog



is ready for his mission

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Federal COOP

➤ **NSPD 51 National Security Presidential Directive 51, “National Continuity Policy”, also known as HSPD 20 Homeland Security Presidential Directive 20, was signed on May 9, 2007 (supersedes Presidential Decision Directive 67).**

- Established a comprehensive national policy
- Established a National Continuity Coordinator
- Established the National Essential Functions (NEF)
- Integrated national continuity program to enhance the credibility of our national security posture
- Enabled a more rapid and effective response to, and recovery from, a national emergency.

DOE/NNSA COOP

➤ '06

- No Department Continuity Program Order – Notice Only
- Initial Continuity of Operations (COOP) Plan (Sept)
- Minimal HQ PSSO COOP Implementation Plans

➤ '07

- DOE Order 100.1D
 - Covers Secretarial Successors, Threat Level Notification, and Successor Tracking

DOE/NNSA COOP

➤ '08

- DOE Order 150.1 – Continuity Programs

➤ '09

- Continuity Technical Assistance Program (CTAP)

➤ '10

- DOE/NNSA Continuity of Operations (COOP) Plan

➤ '11

- New COOP Implementation Plan Templates (HQ & Field)

Implementation Template

- Updated in April 2011
- Aimed to simplify the creation process of the various continuity of operations plans across the DOE/NNSA complex
- Divided into two types of templates
 - Headquarters – PSSO
 - Field Elements/Sites
- Not a requirement, but a best business practice

YES, Ize WERKING!

Ize in teh PLANNING stage.

DOE O 150.1 Requirements

- The continuation of the performance of the **Primary Mission Essential Functions (PMEF)**.
- Pre-planned devolution of authority and **succession orders**.
- Identification of **vital records, facilities, and resources**.
- Provision for the **acquisition of resources**.
- Redundancy of **critical communication capabilities**.
- Planning for **Devolution/Reconstitution**.
- Identification, training, and **preparedness of personnel** to support the continuation of the performance of the PMEFS.
- Pandemic planning
- Annual review of COOP Implementation Plans

Continuity Planning

- The primary focus of the upcoming Eagle Horizon 2011 (EH 11) Exercise are **Devolution** and **Reconstitution**.

The following slides describe devolution and reconstitution planning.

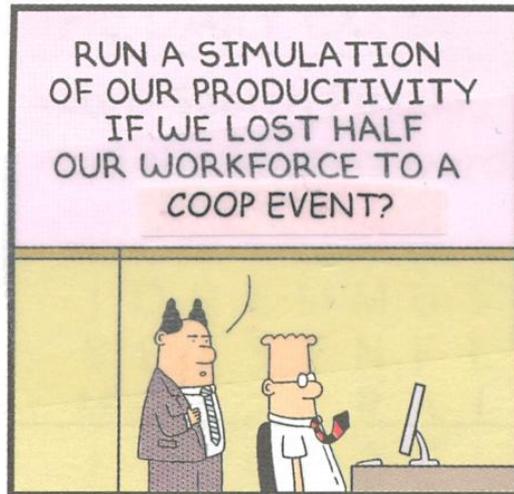
Devolution

➤ DOE O 150.1 defines Devolution as:

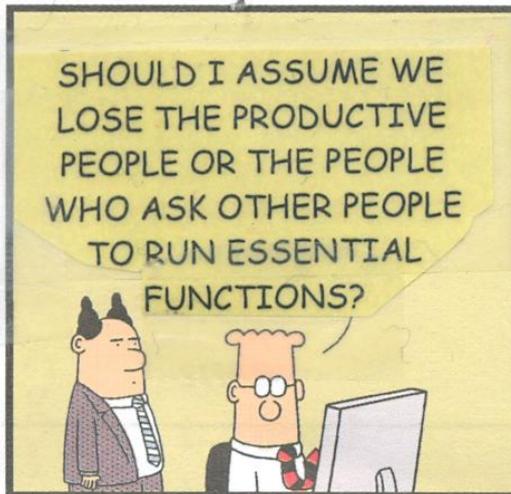
“The capability to **transfer statutory authority** and responsibility for **essential functions** from the agency’s **primary operating staff** and facilities, to **other employees and facilities**, and to **sustain that operational capability for an extended period of time.**”

Devolution (cont.)

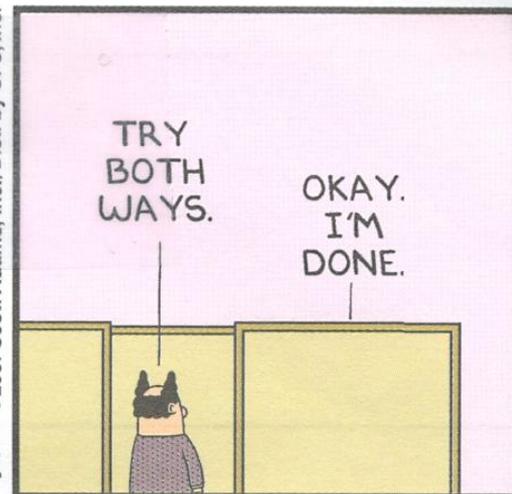
- **HQ Program and Staff/Support Offices (PSSO) should ensure explicit **coordination with their devolution location.****
 - **Program and Staff/Support Offices (PSSO) will maintain an **up-to-date list of its devolution site(s) POCs.****
 - **If your site is a HQ devolution site, **ensure support and requested information is provided to your HQ PSSO.****
 - **The **HQ PSSO** will provide their **devolution POC information** to the **Continuity Program Office.****



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Reconstitution

➤ **DOE O 150.1 defines Reconstitution as:**

“the process by which surviving and/or replacement Agency personnel **resume normal operations** from the original or replacement **primary operating facility.**”

Reconstitution (cont.)

- Reconstitution procedures will commence after a reasonable belief that the continuity event has ended and is unlikely to recur.
- **Once the determination is made, the following options may be implemented:**
 - Continue to operate from the devolution site.
 - Begin to establish a reconstituted HQ in another facility.
 - Begin a phased return to the primary operating facility.
- Once reconstituted, the devolution staff will return mission essential functions to the reconstituted DOE/NNSA HQ PSSO and resume missions and activities.

Eagle Horizon 2010

The following slides were taken during Eagle Horizon 2010. The slides depict our capabilities of conducting our mission during a continuity event



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Eagle Horizon 2011 (EH 11)

- **EH 11 will require departments and agencies to exercise objectives related to:**
 - Alert
 - Notification
 - Communications
 - Devolution
 - Reconstitution
- Each department and agency will respond to the exercise scenario commensurate with its capability level within each particular continuity element.

DOE/NNSA EH 11 Phase 1

- In April 2011, the Continuity Program Office conducted the first session of the exercise
- A tabletop exercise (TTX) was conducted in the Continuity Emergency Management Center (CEMC), located at Germantown, MD.
- The facilitated TTX focused on:
 - Steps necessary to transfer the HQ PSSO essential functions to their respective devolution sites
 - Initiation of reconstitution
- A checklist was used to initiate contact with the devolution receiver and to determine each devolution site's capabilities.

➤ Objectives

- Alert and notification process for Albuquerque devolution site
- Dialogic messaging to Devolution Emergency Response Group (DERG) and Field Sites
- Activation and functioning of Albuquerque DERG
- Field site devolution response

DOE/NNSA EH 11 Phase 2

- **The second session will consist of a functional exercise on June 23, 2011, at the NNSA Service Center devolution site.**
- The functional exercise will test the **transfer of essential functions** of the HQ PSSOs **to their devolution sites.**
- Lessons learned will lead to refinement of the existing Program and Staff/Support Offices devolution/reconstitution plans.

Dialogic Notification

- The Continuity Program Office uses notification software to communicate with Program and Staff/Support Offices (PSSO) during exercise and real world events.
- For EH 11, the acting Secretary of Energy in Albuquerque will utilize this software to coordinate with all Devolution Receivers and the Devolution Emergency Response Group.
- **Accuracy in contact information is vital** in ensuring the correct individuals are contacted during a continuity event.

Continuity Technical Assistance Program

➤ The DOE CTAP is designed to ensure compliance and identify needed improvements to DOE/NNSA COOP Programs through a three step process:

- Self-assessments
- Technical Assistance Visits (TAV)
- External assessments

Continuity Technical Assistance Program (cont.)

- The Continuity Technical Assistance Program (CTAP) gives the field the tools necessary to assist in assessing, validating, and improving their COOP Program.
- Provides a systematic approach to assess continuity programs within the Department.
- Designed to help the Department's organizations improve their COOP Program.

Continuity Technical Assistance Program (cont.)

➤ Self Assessment:

- The conduct of the self assessment is accomplished by reviewing the COOP key elements outlined in DOE O 150.1.
- 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.

Continuity Technical Assistance Program (cont.)

➤ Technical Assistance Visits:

- A request by the Program and Staff/Support Office or Field Element is provided to the Continuity Program Manager.
- The CTAP is conducted by the HQ Continuity Program Office.
- The assessment is informal and focused on the requested area of interest.

Continuity Technical Assistance Program (cont.)

- When requested, the Continuity Program Office conducts the technical assist visit in a systematic manner to ensure an adequate review of the processes associated with the Continuity Program for the site.
- **The Continuity Program Staff follows a schedule** that identifies planned activities and focused areas of interest.
- The assessment will include best practices, areas for improvement, and effectiveness of corrective actions previously identified.
- An informal report will be presented upon completion of assist visit.

Continuity Technical Assistance Program (cont.)

➤ Formal Assessments:

- Conducted by any of the following:
 - DOE HQ Program and Staff/Support Offices.
 - Office of the Inspector General
 - Other outside agencies, such as GAO.



Continuity Readiness Assurance Program

- The Continuity Readiness Assurance Program (CRAP) assists in ensuring that MEF and ESA are performed during a Continuity event.
- The program:
 - Outlines a systematic, structured approach to carry out and/or incorporate assessment results into the Continuity Program
 - Plans and tracks corrective actions
 - Develop lessons learned
 - Summarize readiness through annual Continuity Readiness Assurance Report.

Continuity Readiness Assurance Program

- The CRAP is made up of 3 elements:
- **Assessments:**
 - Conducted on Continuity programs, exercises, and actual events
 - Identify lessons learned and provide assurance of continuity readiness.
 - Include program and exercise evaluations and track performance indicators.

Continuity Readiness Assurance Program

➤ Improvements:

- Gathering information and documenting findings from training and drills.
- Corrective Action Program (CAP) assists in documenting, prioritizing, and resourcing continuity issues identified.

➤ Documentation:

- Continuity Readiness Assurance Reports (CRAR) document the readiness of the department's continuity capability.
 - Received from program office's CRAR
 - Analyzed and inserted into Annual Status Report, which is submitted to the Deputy Secretary.

Continuity Assessment Tool

➤ **Continuity Assessment Tool (CAT):**

- Based upon FEMA Continuity Evaluation Tool (CET) 6, the CAT was modified to make it applicable for DOE Program and Staff/Support Offices and Field Elements.
- Each item in the CAT does not necessarily apply to every location.
- Defines each element using continuity activities and supporting tasks.
- Scoring system allows a DOE Program and Staff/Support Office and Field Element to demonstrate progress from one assessment to the next.
- Overall assessment for each of these continuity elements will be based on the individual task.



Continuity Training

- **The 2011 COOP Awareness Briefing was deployed in two phases:**
 - **Phase 1:**
 - Briefing added to the OLC2 Learning Plans for all DOE/NNSA Federal employees (except BPA & Naval Reactors).
 - All Federal employees should receive an initial email notification and reminder email until the course is completed (available on OLC2 late April-late July 2011)

Continuity Training

- **Phase 2:**
 - Contractor access to COOP Awareness Briefing communicated through Contracting Officers/Contracting Officer Representatives (CO/COR).
 - Notification of requirement for COOP briefings with instructions to access the briefing sent in April to all DOE/NNSA CO/CORs.

**A viable COOP Plan
will minimize
the
adverse impacts of a COOP event!**