



# *Continuity of Operations*

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## *Topics To Be Discussed:*

- ◆ Overall Continuity Planning
- ◆ Essential Functions – A New Approach
- ◆ Continuity Exercises
- ◆ Expectations for DOE and NNSA Field Activities

 = Handout     = On EMI SIG Website ([www.ornl.gov/emi](http://www.ornl.gov/emi))

# *What is it about COOP?*

- ◆ It shouldn't be so hard, but it is
- ◆ It's important, if we need it
- ◆ It would be awful if we are not ready
- ◆ It is a tax on resources that are scarce
- ◆ It has to be done

# *Continuity Planning*

## A Broad Perspective

# *Continuity Mission*

- ◆ "There is no more important imperative for our nation and our government than our own national survival – the preservation of our democracy, our freedom, our constitutional order, our institutions and way of life. (U)"
- ◆ "Therefore, in the face of current and future dangers, it remains the policy of the United States to have in place a comprehensive and effective program to ensure survival of our constitutional form of government and continuity of essential Federal functions under all circumstances. (U)"

- PDD 67 (1998)

# *Continuity Planning*

- ◆ Continuity Programs have been around for decades
- ◆ Grew out of the Cold War
- ◆ When the Cold War ended, interest faded
- ◆ Then 9-11 happened
- ◆ Everything changed

# *Overall Continuity Planning*

## *Perspective from the top*

- ◆ White House/Homeland Security Council
  - Recognition of the need for National Level Guidance
    - ◆ Several Years after 9-11
    - ◆ 2004 Comprehensive Continuity Programs Review approved by the ECGCC
      - Changes and improvements needed
      - New threats mean new requirements
    - ◆ New FPC 65, June 15, 2004 
    - ◆ Frances Townsend Memo October 6, 2004  

# *Overall Continuity Planning*

## *Perspective from the top*

- ◆ White House/Homeland Security Council
  - Work is underway
    - ◆ Formation of Interagency Continuity Working Group (ICWG)
    - ◆ HSC considering WH office on Continuity Issues
    - ◆ **COOP CON Guidance Established**  
    - ◆ Essential Functions Guidance working (more later)

# *Overall Continuity Planning*

## *Perspective from the top*

- ◆ Congress has become very interested in Continuity Programs
  - ◆ Davis Article 3-4-05  
  - ◆ Kyl Article 4-16-05  
  - ◆ CRS Reports: 4-21-03, 1-31-05 
- Unfunded Requirements
- Continuing Audits
  - ◆ GAO Audit Report 8-04 
  - ◆ Report was not good

# *Overall Continuity Planning*

## *What is reasonable?*

### ◆ How much is enough?

- COOP is a moving target
- FEMA – Executive Agent for COOP
  - ◆ Working on Standard Guidance
  - ◆ Working on COOP Plan Templates
  - ◆ Developing Training Courses
    - <http://www.fema.gov/onsc/>
  - ◆ Working with Regional FEBs and FEAs
    - A good place to go for help?
- Emergency Operations Training Academy
  - ◆ COOP courses available

# *Where Does DOE Stand?*

## ◆ DOE IG Audit 2-04

- Report not very good

◆ We are making progress  
but it is slow

◆ Some aspects of COOP are  
easier than others

# *Overall Continuity Planning for DOE HQ*

- ◆ Essential Functions
  - ◆ A good start, but not complete
- ◆ Orders of Succession
  - ◆ In place
- ◆ Interoperable Communications
  - ◆ Pretty good
- ◆ Alternate Facilities - Germantown
  - ◆ Will always be the primary relocation site

# *Overall Continuity Planning for DOE HQ*

- ◆ Beyond GTN for relocation
  - Program Offices go their own way
  - Camp Dawson, WV?
  - Future is unclear at this time
- ◆ Devolution to various sites
  - Right now Programs go to different sites
    - ◆ This is OK – it gets the job done
    - ◆ Much of the real work is done in the field
    - ◆ Some exceptions
  - Leadership location TBD

# *Overall Continuity Planning for DOE HQ*

Other Aspects of Continuity Planning  
are still being worked

There is still a lot to be done



# Questions?

# *Essential Functions*

A New Approach

# *Essential Functions*

## *The new approach*

- ◆ Frances Townsend's Memo 1-10-05 
- Developing New Policy
- National Essential Functions (NEFs)  
  - ◆ Focus for the Nation
- Department and Agency Responsibilities
  - ◆ Mission Essential Functions (MEFs)

# *The National Essential Functions*

- ◆ Preserve Our Constitutional Form of Government
- ◆ Provide Visible Leadership to the Nation
- ◆ Defend the Country
- ◆ Maintain Foreign Relations
- ◆ Protect the Homeland
- ◆ Provide Rapid Response to an Attack
- ◆ Protect the National Economy
- ◆ Provide Critical Government Services

# *Essential Functions*

## *The new approach*

- ◆ Mission Essential Functions
  - Priority (PMEF) – Directly support NEFs
  - Internal/Secondary (I/SMEFs) – Other Essential Missions that must be performed before, or to bring about full resumption of normal business
- ◆ Essential Supporting Activities
  - Essential, but not primary mission

# *Essential Functions*

## *The new approach*

- ◆ **Current Version of DOE PMEFs** 
  - Provide Stewardship of Nuclear Weapons Complex
  - Monitor National Energy Infrastructure
  - Manage National Scientific and Technical Capabilities
  - Deploy National Response Assets
  - Gather Proliferation Intelligence & Counterintelligence
  - Respond to International Nuclear/WMD Proliferation

# *Essential Functions for DOE Field Activities*

- ◆ Support the NEFs
  - Many DOE Field activities directly support one or more of the NEFs
- ◆ Look at Missions First
  - Does it have to be done or can it be delayed during a crisis?
- ◆ What supports our Missions?
  - Other Essential Supporting Activities



# Questions?

# *Demonstrating and Validating*

## Continuity Exercises

# *Continuity Exercises*

DHS and FEMA, with various partners, have been hosting a series of major interagency continuity exercises to test various parts of and the overall capability of the Government to function during an emergency

# *Continuity Exercises*

◆ Forward Challenge 04 (May 12-13, 2004)

◆ PINNACLE (June 20-24, 2005)

◆ Forward Challenge 06 (April 06, 2006)

# *Exercise FORWARD CHALLENGE 04*

- ◆ May 2004 – 2 day interagency exercise
- ◆ First Full Department-wide COOP Exercise
- ◆ Demonstrated our ability to:
  - Notify personnel
  - Operate at an alternate location
  - Communicate with other organizations
  - Perform Essential Functions
  - Some Field Activity participation
- ◆ A good first effort
- ◆ Many Lessons Learned – AARs 

# *PINNACLE Exercise Overview*

- ◆ Major Federal interagency continuity exercise
- ◆ June 20-24, 2005
- ◆ Scenario driven
- ◆ Test HQ ability to relocate to and perform essential functions from alternate facilities
- ◆ This exercise is being designed and managed by DHS and FEMA
- ◆ DOE has committed to participate

# *Exercise PINNACLE*

## ◆ June 05

- Secretary Bodman 4-1-05 letter (OUO) 
- PINNACLE EXPLAN (OUO) 
- Field participation
  - ◆ At Program Office discretion

# *DOE PINNACLE Objectives*

*(Details in EXPLAN)*

Test existing plans, procedures, and policies regarding:

- ✓ Alert and notification
- ✓ Deployment to alternate facility
- ✓ Succession plans and delegations of authority
- ✓ Interoperable communications
- ✓ Managing and processing information
- ✓ Ability to perform essential functions

# *PINNACLE Exercise Schedule*

- ◆ Pre Exercise "Warm ups"
- ◆ June 20-21 COOP CON levels raised  
"Lean forward"
- ◆ June 22 Catastrophic event in Washington, DC; COOP activated
- ◆ June 22-23 Continuous Operations from COOP sites (24/7)
- ◆ June 23 ENDEX ~16:00 – 19:00 (TBD)  
Preliminary HOT WASHES
- ◆ June 24 HOT WASH

# *DOE Level of Participation*

- ◆ PINNACLE is not intended to be a full COOP exercise
- ◆ Most offices are not required to deploy their full COOP Team
- ◆ The exercise is intended to demonstrate each office's ability to establish an operational capability and perform essential functions

# *Field Involvement*

- ◆ Program Offices can use their Field Activities to stimulate exercise play or as response cells
- ◆ Field Activities should:
  - Be aware of exercise activities and information
  - Be prepared to respond as they would in a real-world situation
  - Role play as appropriate

# *Exercise FORWARD CHALLENGE 06*

## ◆ FORWARD CHALLENGE 06

- Tentative date: April 17-21
- Scenario – similar to PINNACLE
- Objectives – Exercise FULL COOPs
  - ◆ COOP CON levels
  - ◆ Deployment
  - ◆ Succession
  - ◆ Communications
  - ◆ Termination of COOP
    - Reconstitution Issues



# Questions?

# *Continuity Planning*

Expectations for  
DOE and NNSA Field Activities

# *Expectations for DOE and NNSA Field Activities*

- ◆ What if HQ COOPs?
  - Security
  - Communications
  - Essential Functions
  - Support HQ Activities
- ◆ Devolution

# *Expectations for DOE and NNSA Field Activities*

Field COOP Plans - What to work on first?

- ◆ Order of Succession
- ◆ Delegation of Authority
- ◆ Alternate Facilities
- ◆ Essential Functions
- ◆ Communications
- ◆ Training and Exercises

# *Expectations for DOE and NNSA Field Activities*

- ◆ What about the Contractor?
  - ◆ What is expected?
  - ◆ What is required?
- Business Continuity Plans
- Support DOE Mission Essential Functions

# *Expectations for DOE and NNSA Field Activities*

## ◆ How much is enough?

- We need to get this right
- Eventually, Field activities will be audited
- Bottom Line: Keep making progress



Thank you

Questions?