LA-UR- *10-08442*

Approved for public release;
distribution is unlimited.

Title:	LANL Continuity of Operations Plan
Author(s):	D.M. Senutovitch
Intended for:	LANL COOP Program and stake holders

Los Alamos
NATIONAL LABORATORY
——— EST.1943 ———

Form 836 (7/06)

Emergency Operations Division	Document Number:	EPP-COOP-006, R1
	Effective Date:	December 20, 2010
PLAN	Next Review Date:	December 31, 2011
	Supersedes:	EPP-COOP-006, R0
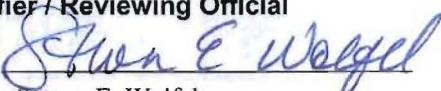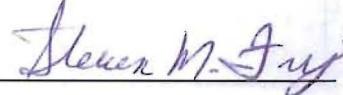
Title: LANL Continuity of Operations Plan

Status: ☐ New   ☒ Major revision   ☐ Minor revision   ☐ Reviewed, no change

Derivative Classifier / Reviewing Official		**Date**	☒ Unclassified
Signature: _Steven E. Wolfel_		12/6/2010	☐ UCNI
Printed Name: Steven E. Wolfel			☐ Classified

	Organization	**Date**	**Signature**
Document Owner/ Subject Matter Expert: Diane M. Senutovitch	EO-EPP	7 Dec 2010	_signature_
Document Reviewer/ Subject Matter Expert: Steven M. Frye	NNSA-LASO	12/20/10	_Steven M. Fry_
EO Division Approval: Tony Stanford	EO-DO	12/8/10	_signature_
Approved for Implementation/Use: John Noon	P-DO	2/14/10	_John J. Noon_

HISTORY OF REVISIONS

Document Number	Effective Date	Action	Description
EPP-COOP-006, R0	10/18/2010	New Document	Original Issue
EPP-COOP-006, R1	12/20/2010	Major Revision	• Updated Executive Summary • Added bullet to Introduction • Modified the following Sections: • 1.3, Applicability & Scope • 1.4.3, LASO Cont. Plan • 3.2.1, COGCON • 3.2.4, Alert & Notif. • 3.2.8, Devolution of Command & Control • 3.4.1, Establising Ops. • 3.4.7, Human Capital • 3.5, Phase IV • 4.1, LANL Cont. Prog. Mgr • 5.1.3, Drills & Exercises • 6.2, PFITS • 6.4.1, Requirements • 7.0, LANL Cont. of Ops Plan Maintenance • Modified Heading in Section 3.0 • Added Attachment 4 to end

TABLE OF CONTENTS

EXECUTIVE SUMMARY

The purpose of this document is to ensure LANL and LASO respond comprehensively and effectively to any national or local COOP event. This Los Alamos National Laboratory (LANL) Continuity of Operations (COOP) Plan is a Laboratory-wide plan that:

1.) documents and describes the LANL Continuity Program;

2.) provides implementation process and procedures for LANL in a continuity event; and

3.) documents LANL Primary Mission Essential Functions (PMEFs) Plans/Procedures on the development and implementation of the Lab's ability to perform its essential functions and mission critical operations

DOE O 150.1, *Continuity Programs*, provides the objectives, requirements, and responsibilities of the overall LANL Continuity Program. This plan provides the framework for implementing the Order.

LANL is responsible for ensuring that the Laboratory is prepared for and ready to respond to a wide range of events that may disrupt normal operations. To support this mission, it is important that the LANL Protective Force, Associate Directorate for Safeguards and Security (ADSS), Materials Control and Accountability (SAFE-4) Group, Special Nuclear Material (SNM) Accountability Group, Emergency Operations Division, and National Asset Teams are able to operate and continue PMEFs. Those MEFs and ESAs, henceforth referred to as Essential Functions (EFs), must also be prepared, no matter what happens to LANL, to support our PMEF facilities, operations, systems, and personnel.

A Continuity Emergency Management Team (CEMT) and Continuity Emergency Response Group (CERG) will be identified to ensure that the EFs of LANL will be accomplished, should the need arise.

When an event has or could disrupt operations at LANL locations, the order to activate the COOP Plan will be made by the LANL Continuity Program Manager in consultation with the LANL Emergency Operations Division Leader, LANL Emergency Director, the Associate Director of Safeguards and Security, the Emergency Management Office (EM) or receiving direction from the Site Office Manager, or receiving direction from DOE Headquarters. The LANL-LASO positions will make up the initial LANL COOP Emergency Management Team (CEMT) and determine per the event other CEMT members which need to be notified.

The CEMT will then locate to the LANL Emergency Operations Center at TA-69-0033 to determine EF operations and notifications. CEMT-CERG members and pre-determined essential personnel will report for accountability and be informed of what actions need to be taken by them. *Non-essential personnel will report for accountability, remain in contact with their management, and provide subject matter expertise to the CEMT-CERG, as required or requested.*

This Plan provides guidance or instructions on the required elements of the LANL COOP Program, including sustained performance of EFs during a continuity event.

COOP Budget

- In accordance with National Security Presidential Directive 51/Homeland Security Presidential Directive 20, National Continuity Policy, "The Director of the Office of Management and Budget shall "… in coordination with the National Continuity Coordinator, issue annual continuity planning guidance for the development of continuity budget requests…."

- As of the current date, the Office of Management and Budget (OMB) has not issued guidance to address the requirement mentioned above. Once this guidance has been given, the Los Alamos National Laboratory/National Nuclear Security Administration will develop agency budget guidance to comply with requirements established by OMB.

1.0   INTRODUCTION

The Los Alamos National Laboratory (LANL) is a premier national security research institution, delivering scientific and engineering solutions for the nation's most crucial and complex problems. Our primary responsibility is to ensure the safety, security, and reliability of the nation's nuclear stockpile.

LANL emphasizes worker safety, effective operational safeguards and security, and environmental stewardship, outstanding science remains the foundation of work at the Laboratory.

In addition to supporting the Laboratory's core national security mission, our work advances bioscience, chemistry, computer science, earth and environmental sciences, materials science, and physics disciplines.

To accomplish LANL's mission, we must ensure that the Laboratory EFs continue to be performed during a continuity event, including localized acts of nature, accidents, technological or attack-related emergencies, and pandemic or epidemic events. The LANL Continuity of Operations (COOP) Plan documents the overall LANL COOP Program and provides the operational framework to implement continuity policies, requirements, and responsibilities at LANL, as required by DOE O 150.1, *Continuity Programs, May 2008.*

LANL must maintain its ability to perform the nation's PMEFs, which are:

- maintain the safety and security of nuclear materials in the DOE Complex at fixed sites and in transit;

- respond to a nuclear incident, both domestically and internationally, caused by terrorist activity, natural disaster, or accident, including mobilizing the resources to support these efforts; and

- support the nation's energy infrastructure.

A detailed description of LANLs EFs are described in Appendix A.

1.1   Purpose

This plan supports Continuity of Operations for Los Alamos National Laboratory (LANL). This plan issues LANL policy as directed by the DOE O 150.1, *Continuity Programs*, and provides direction for the orderly continuation of LANL EFs for 30 days of closure or 60 days for a pandemic/epidemic event. Initiation of COOP operations may be required to support an all-hazards event, including a national security emergency, major fire, catastrophic natural disaster, man-made disaster, terrorism event, or technological disaster by rendering LANL buildings, infrastructure, or Technical Areas unsafe, temporarily unusable, or inaccessible.

1.2 Objectives

1.2.1 LANL COOP Program

The LANL COOP Plan encompasses all the elements of a viable continuity program. This effort includes plans and procedures that (*if applicable to the event*):

- identify essential functions;
- specify orders of succession and delegations of authority;
- provide for the safekeeping of vital records;
- identify alternate facilities;
- provide for interoperable communications;
- provide for human capital planning;
- validate continuity capabilities through tests, training, and exercises (TT&E);
- conduct assessments to validate meeting the requirements;
- specify devolution of control and direction; and
- provide for reconstitution.

The primary objective of LANL's COOP Program is to maintain the ability to perform essential functions (PMEFs, MEFs, and ESAs) across a wide range of continuity events or situations that may disrupt normal operations.

The LANL COOP Program must also address preparedness and response to a pandemic event. LANL's EPP-COOP-001, R0.2, *Pandemic Response Plan*, is reviewed annually and drilled, or exercised bi-annually per the Continuity of Operations Readiness Assurance Report (CRAR).

1.3 Applicability and Scope

The LANL COOP Plan is applicable to all of LANL, although it generally supports our PMEFs. The Plan is also applicable to the designated Laboratory Field Elements that have been identified to support LANL as alternate facilities. The LANL COOP Plan also fully applies to LASO, except as differentiated by LASO's inherent federal responsibilities listed in the LASO COOP Plan, Attachment 4. The provisions of the LANL COOP Plan apply to the full spectrum of situations and/or events that could affect the ability of LANL officials, support staff, and other personnel to perform the Laboratory's EFs and mission-critical operations.

1.4 Coordination of COOP Plans

Since a continuity event usually involves some type of emergency or security event, COOP Plans must work in concert with other emergency response plans, including occupant emergency plans, operational emergency plans, security plans, contingency plans, and business continuity-recovery plans. Plans must be coordinated so that response during a continuity event is consistent. Decision making responsibilities, lines of communication, and devolution are some areas in which prior coordination and planning must be accomplished. *This COOP Plan will identify these areas and document the plans and procedures already in place that ensure continuity of our PMEFs per document crosswalks in Appendix B.*

1.4.1 LANL Building Emergency Plans

Building Emergency Plans (BEPs) are facility-specific plans that are developed to reduce the possibility of injury to personnel and damage to a facility. The LANL COOP Plan works in conjunction with the existing BEPs and LANL Procedure P1201-4, *LANL Emergency Procedures and Protective Actions* (May 26, 2010). The BEPs ensure that employees, visitors, and other users of Laboratory facilities are safely evacuated or directed to shelter or stay put at the time of a localized emergency event such as a structural fire, system/mechanical failure, or loss of utilities. In a continuity event, it is possible that a BEP will be implemented before or during the beginning stages of the event. If a LANL building cannot be quickly reoccupied after an incident or evacuation, the Emergency Manager/Incident Commander, Emergency Operations Division Leader/COOP Manager, or their designees will make a decision whether to activate the LANL COOP Plan and/or appropriate plans/procedures, dependent on the actual event and the use of the facility.

1.4.2 LANL COOP Emergency Management Team

The LANL COOP Emergency Management Team (CEMT) may be implemented in response to an operational emergency at the Laboratory. In such cases, a designated LANL Emergency Manager may elect to assemble the LANL CEMT. It is possible that a LANL CEMT may be activated during the implementation of the LANL COOP Plan, during a continuity event, or during an operational emergency. In such a case, the LANL CEMT will form as a separate entity and follow the LANL COOP Plan. The LANL CEMT will coordinate its activities with the Emergency Director and/or the Emergency Management Office.

1.4.3 Los Alamos Site Office Continuity Plan

COOP Planning for both LASO and LANL is a coordinated effort. Due to the unique nature of LASO support for the PMEFs, LASO maintains the LASO COOP Plan independently, and it is included as Attachment 4. The LASO COOP Coordinator is responsible for updating the LASO COOP Plan as needed and for coordinating with the LANL COOP Plan. The LASO COOP Plan does not contain any personally identifiable information (PII), so the LASO and LANL COOP Coordinators will ensure that contact information is shared between the two organizations (CEMT/CERG).

1.5 Multi-Year Strategy

The LANL COOP multi-year strategy is identified in EPP-COOP-003, *LANL Implementation plan*, and EPP-COOP-004, *LANL Continuity Readiness Assurance Report (CRAR)*. This Plan will not go into the details of the previously identified documents, as they are a part of the LANL COOP program.

1.6 Authorities and References

The LANL COOP Plan is based on federal laws, guidance, and requirements for continuity programs. The list of authorities and references is contained in Appendix C, and it references the DOE/NNSA COOP Plan, dated April 2010.

2.0   ESSENTIAL FUNCTIONS

2.1.   National Essential Functions (NEFs)

NEFs are established by the President, and they represent the overarching responsibilities of the Federal Government to lead and sustain the nation and will be the primary focus of the Federal Government's leadership during, and in the aftermath of, an emergency.

2.2   Primary Mission Essential Functions (PMEFs)

PMEFs are those essential functions that must be performed to support or implement the performance of the NEFs before, during, and in the aftermath of an emergency. PMEFs are defined as those functions that need to be continuously performed during an event or resumed within 12 hours of an event, and that need to be maintained for up to 30 days after an event, or until normal operations can be resumed.

2.3   Mission Essential Functions (MEFs)

MEFs may be established through a business process analysis or identified per a PMEF/MEF. LANL's MEFs are those activities, specific to LANL's mission, which must be performed during and within 30 days following a continuity event. They are activities that lead and sustain the Laboratory during an emergency, exercise civil authority, maintain the safety and well-being of the general population, and provide vital services. These functions must be able to be performed regardless of where the event occurs.

2.4   Essential Supporting Activities (ESAs)

ESAs are activities that are performed to support the Laboratory's EFs. ESAs are activities that, while not a PMEF function, assist the laboratory in performing its mission. They are considered critical activities since without that particular activity, the Laboratory would not be able to accomplish its mission and functions, which may further compromise the safety of the Laboratory.

EFs and their supporting activities and tasks are described in Appendix A and are based upon the two LANL PMEFs.

3.0   CONTINUITY OF OPERATIONS PHASES

COOP planning is intended to ensure Laboratory EFs continue to be performed in a continuity event or are resumed quickly under all circumstances. In the implementation process, COOP planning addresses four phases:

1) Readiness and preparedness;
2) Activation and relocation;
3) Continuity operations; and
4) Reconstitution.

Each phase builds from the previous stage.
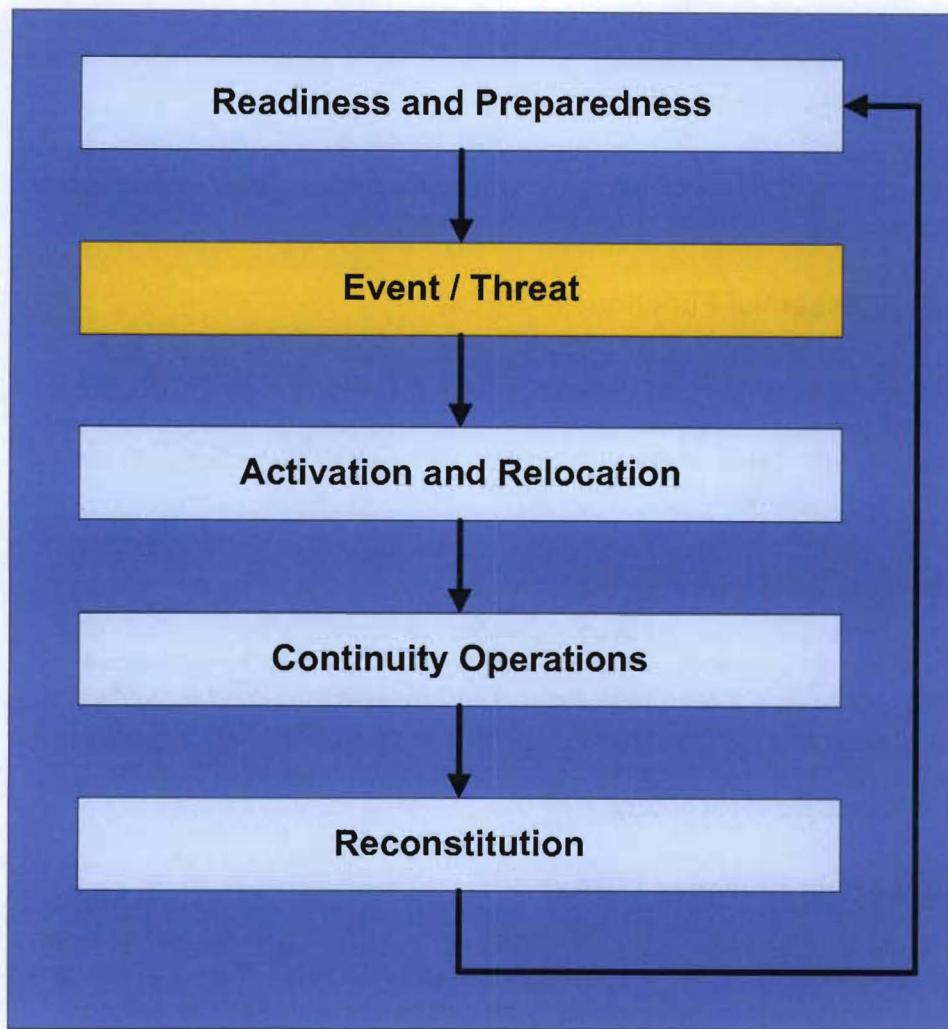
3.1   Phase I: Readiness and Preparedness

Readiness is the ability of an organization to respond to an unusual event. Readiness is a function of planning, training, and assessment. This phase includes as much as possible the Laboratory continuity readiness and preparedness activities, which include:

- identification of PMEFs, MEFs, and ESAs (see Appendix A);
- development, review, and revision of continuity plans and procedures;
- TT&E Section (see EPP-COOP-004, *CRAR*, Training, Testing and Exercises); and
- the Continuity Readiness Assurance Program (see EPP-COOP-004, *CRAR*).

Vulnerabilities that could result in a continuity event should be identified and minimized. Measures should address the identification and protection of personnel, facilities, LANL assets, vital records, equipment, and systems.
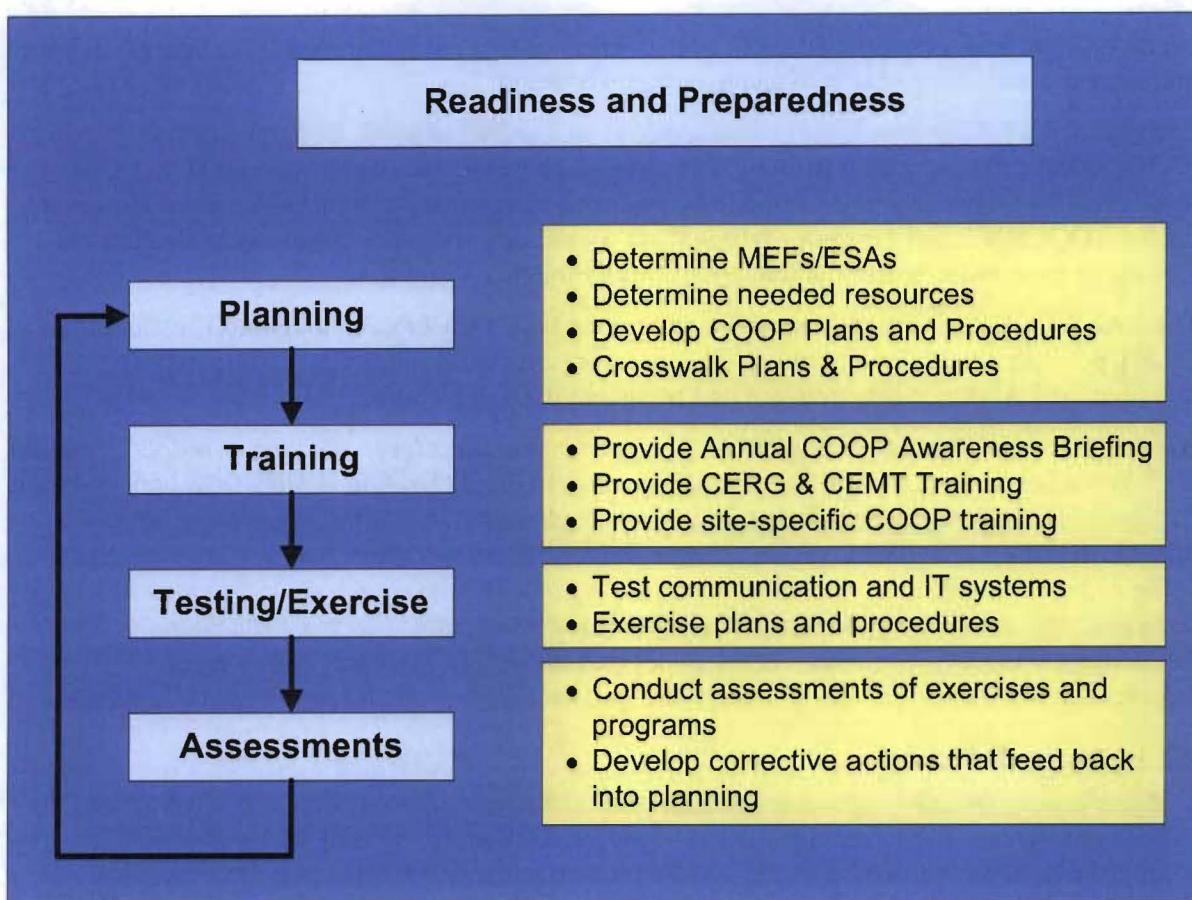
3.2   Phase II: Activation and Relocation

Phase II addresses pre-activation, activation, and relocation procedures to initiate operations at the primary or alternate facilities if needed for a specific continuity event. In addition, this section addresses the requirements established for the readiness-based, Continuity of Operations Continuity of Government Conditions (COOP COGCON) Alert Levels.

3.2.1   Continuity of Government Readiness Conditions (COGCON)

The COGCON system was developed within the National Capital Region (NCR). These conditions, issued from the White House, have specific actions related to continuity preparedness designed to shorten the 12-hour readiness window to begin operations from an alternate facility. Therefore, the COOP COGCON levels established apply directly to the federal government in the National Capital Region. Field elements and sites that are relocation and/or devolution sites for the HQ federal government should be familiar with the COOP COGCON levels. The field elements and field sites will also be notified of changes in COGCON levels and need to understand what readiness level the federal government established.

The COGCON levels provide a continuity readiness posture and a flexible and coordinated response to escalating threat levels or actual emergencies. The levels acknowledge that circumstances may occur resulting in a desire for an increase in the federal government's readiness for a continuity event. These circumstances include indications of increased threat

conditions (such as a terrorist attacks), or the existence of a particular event (such as a hurricane) that increases the vulnerability of the federal government.

Each of the COGCON levels represents a degree of leaning forward, from the normal (COGCON 4), to a very high (COGON 1) state of readiness. During the various COGCON levels, regular business will continue to be performed at primary operating facilities. However, during COGCON 2 and 1, select personnel are placed on call and/or deployed to an alternate facility, to meet requirements of the designated Continuity Condition.

The LANL COOP Plan may or may not be activated at COGCON 2, though notification of CEMT personnel to the EOC or via COOP electronic meeting room may be initiated to determine if LANL needs to activate its Emergency-COOP posture.

Note: The COGCON level is a separate and independent alert level affecting continuity. It is not directly tied to Security Condition (SECON) levels, Medical Condition (MEDCON) levels, or the National Threat Advisory levels (Green, Yellow, Red), and INFOCOM. All of these levels may affect Laboratory activities in different ways. While certain situations may result in the levels being changed at the same time, determinations regarding these readiness conditions are made independently, based on information available in each situation. Therefore, one condition may be changed while the other remains the same, or both may be adjusted at the same time. Information regarding changes in either case may be determined and promulgated separately.

3.2.2 Decision Process

COOP planning includes a decision making process for determining when and what actions are to be taken in regard to a continuity event. Since activation of a COOP plan is based on localized events and information, the decision to activate a COOP plan may be a localized decision. The COOP planning and resulting procedures may be utilized in situations other than a declaration of a COOP event at the discretion of LANL. Official declaration of a local COOP event is made by the LANL ED or CEMT depending on the initiating or on-going event. NA-40 may request the Site Manager to activate the LANL COOP Plan. COOP events are incident-dependent. COOP Plan activation usually occurs with the physical notification and possible movement of CEMT and CERG personnel.

If the LANL COOP Plan is activated, determinations may be made if applicable to the event regarding:

- notifications-communications;
- who is in charge (Federal and Contractor Orders of Succession– Delegations of Authority);
- relocation site or devolution if applicable (Alternate Facilities);
- prioritizing EFs (See Appendix B – Essential Functions); required personnel (Continuity Emergency Management Team [CEMT] and Continuity Emergency Response Group [CERG]); (essential personnel); or
- any additional information to be provided in the initial notification regarding the circumstances or the required response

3.2.3 Implementation Options

The expected response to a continuity event can be divided into three basic categories. In some situations, the best response may involve a combination of these options and, as always,

extensive use of the tele-work option will provide additional flexibility and capability, and it should be encouraged as much as practical and applicable.

- *Continuity of Operations Relocation. Examples of this kind of situation include significant flooding, power disruption, contamination events at a facility, or a threat or attack that renders the primary operating facility unsafe for occupancy. For LANL PMEFs, alternate facilities are identified in their operating documents and will not be identified in the LANL COOP Plan to allow for better change control and because some of the information may be sensitive or classified Applicable organizations need to maintain a crosswalk document between the order requirements and implementing documents.*
- *Continuity of Operations Devolution. Devolution is the capability to transfer statutory authority and responsibility for EFs from an agency's primary operating staff and facilities to other employees and facilities to sustain that operational capability for an extended period. Department leadership or staff may be unavailable to support, or incapable of supporting, the execution of PMEFs during an increased threat situation or in the aftermath of a catastrophic emergency. Devolution is covered for PMEF #2 in the NA-40 Watch Bill.*
- *Pandemic Response. Infrastructure and facilities are generally viable and can support operations; however, in the event of a highly contagious or infectious disease, social distancing may be required. In order to minimize contact, only very limited numbers of personnel are required to report to work. Protective measures and limited contact (social distancing) are imposed on the workforce. Personnel are encouraged to use tele-work as much as possible to perform their function. Pandemic is covered in the LANL Pandemic Response Plan, EPP-COOP-001-R0.2.*

3.2.4 Alert and Notification

Once the decision to activate the LANL COOP Plan has been made, notification of the event and information regarding the activation is accomplished by:

The LANL Continuity Program Manager, after consultation with the Emergency Director and/or Emergency Manger, and/or CEMT members if available, implements the LANL CGA-DO Communications Plan until the (Continuity Notification-Communication Plan is developed and approved), to include providing as much specific information and guidance as is available regarding the nature of the situation and the initial anticipated response required by LANL offices and personnel.

Generally, notifications will be made via one or more of the following means:

- manual notification (Phone Trees);
- computer e-mail alert;
- supervisor or word-of-mouth; or
- automated notification system (CEMT and CERG sub-groups) (i.e., MASS Notification System).

LANL management is responsible for communicating the appropriate level of response required by their office and further disseminating the notification to their personnel. Appropriate guidance should also be provided to personnel not required to relocate or remain on site.

Employees will generally be notified to take one of the following actions, depending on the circumstances and the nature of their work:

- Report to a specified facility or alternate facility, as applicable to the event.
- Deploy to a specific work location to support the Laboratory's response effort (i.e., ERO to EOC).
- Remain at home, or in a safe location.
- Remain in contact with management.
  o This includes being available by phone and computer, if possible.
- *Be available to return to work, if necessary.*
- *During a COOP event, employees must remain "fit for duty" and be available to work*
- *Employees may also be asked to telework.*
  o *Note: If an employee is not incapacitated or in a leave status.*

Additionally, the LANL Continuity Program Manager, with concurrence from the EO-DO Division Leader (DL), will ensure notification is made to the laboratory stakeholders regarding actions being taken by LANL. These notifications will include the status of the LANL COOP activity and who is in charge.

3.2.5 Relocation

The relocation phase addresses the process of moving the CERG personnel to an alternate facility, if needed, to perform EFs during or following a disruption. CERG personnel are expected to arrange their own transportation to the alternate facility. Organizations supporting the PMEFs maintain procedures detailing their alternate operating facilities. *Some of these documents may contain sensitive or classified information.*

3.2.6 Orders of Succession

Each EF establishes and maintains Orders of Succession to ensure the uninterrupted leadership and smooth functioning of their office, in the event they are unable to execute their responsibilities.

Any Official serving in an acting position pursuant to the Order of Succession during a Continuity Event may exercise all authority vested by law in the position.

At a minimum, each of the following Program Offices need to maintain Order of Succession:

- Laboratory Director/Leadership
- Safeguards & Security
- Occupational Medicine
- Health, Safety, and Security
- Chief Financial Officer
- Chief Information Officer
- Human Capital Management
- Intelligence and Counterintelligence
- Public Affairs
- General Counsel
- LASO

See Attachment 1: Template for Orders of Succession or Delegation of Authority.

3.2.7 Delegations of Authority

To ensure a rapid response to any emergency and to minimize disruptions that require implementation of continuity plans, a delegation of authority identifies who is authorized to act on behalf of the division head or other officials for specified purposes and ensures that designated individuals have the legal authority to carry out their duties. To the extent possible, this authority is identified by title or position, and not by the individual office holder's name.

Generally, predetermined delegations of authority will take effect when normal channels of direction are disrupted and will terminate when these channels are reestablished. Delegation of authority should reach to a sufficient depth and have sufficient breadth—at least three positions deep and geographically dispersed where feasible—to ensure the Laboratory can perform its EFs while remaining a viable part of the Federal Government during the course of any continuity event. Each organization maintains predetermined delegations of authority of its CERG. To ensure their legal sufficiency and clarity, delegations of authority must have the following characteristics:

- A delegation of authority must document in advance (where designated) the legal authority for officials (including those below the level of management head) to make key policy decisions during a continuity situation.

- delineating the limits of authority and accountability;
- outlining explicitly in a statement, the authority (including any exceptions to that authority) of an official so designated to exercise department/office direction, and the authority of an official to re-delegate functions and activities, as appropriate;
- defining the circumstances under which delegation of authorities would take effect and when they would be terminated;
- ensuring that those officials who might be expected to assume authorities in a continuity situation are properly informed and trained, as required, to carry out their emergency responsibilities (training of these officials will be conducted at least annually); and
- ensuring the orderly (and predefined) transition of leadership, within the Laboratory, during a continuity event (delegations are closely tied to succession).

Include delegations of authority in the vital records and ensure they are available at the appropriate continuity facilities (alternate operating facilities and devolution sites) in the event the continuity plan is activated.

3.2.8 Devolution of Command and Control

Devolution of command and control refers to the situation in which LANL personnel are unable to perform EFs, and authority and responsibilities are transferred to personnel at another physical location. This can occur in several ways:

- LANS (ADSS/EO) contacts the Site Office Manager, who will contact HQ (if available) and the most senior federal successor to convey the message that LANL is unable to perform its EFs and to request assistance and direction;
- LANL is in such a state that communication with the LASO Manager/HQ is not possible; following the Order of Succession, the most senior successor who is able to assume leadership responsibilities does so, while reestablishing communications with the NNSA HQ, DOE HQ, and the LANL CERG.

Each of our PMEFs have plans for these situations.

- PMEF#1 (protect SNM) remains onsite 24/7. Once all SNM have been accounted for, Materials Control & Accountability (MC&A) personnel need to go home.
- For PMEF#2, the NA-40 Watchbill will determine if LANL teams will deploy offsite to Sandia National Laboratory or if the back-up team will replace the LANL deployed and home team members. If LANL is safe, then LANL home team members will be supported locally. An NA-40 Federal Team Leader will determine the alternate location, which will likely be the Sandia National Laboratory home team, for LANL home team members to respond in the event LANL is in an unsafe condition.

Activation and Relocation

Decision to Activate

- Who is in charge?
- Which AXF?
- Which personnel are required?
- What message needs to be provided?

↓

Notification

- Inform personnel of activation
- Provide relocation instructions, other requirements, and expectation

↓

Relocation

- Relocate as necessary to AXF
- Telework, if possible
- Establish shift work, if necessary
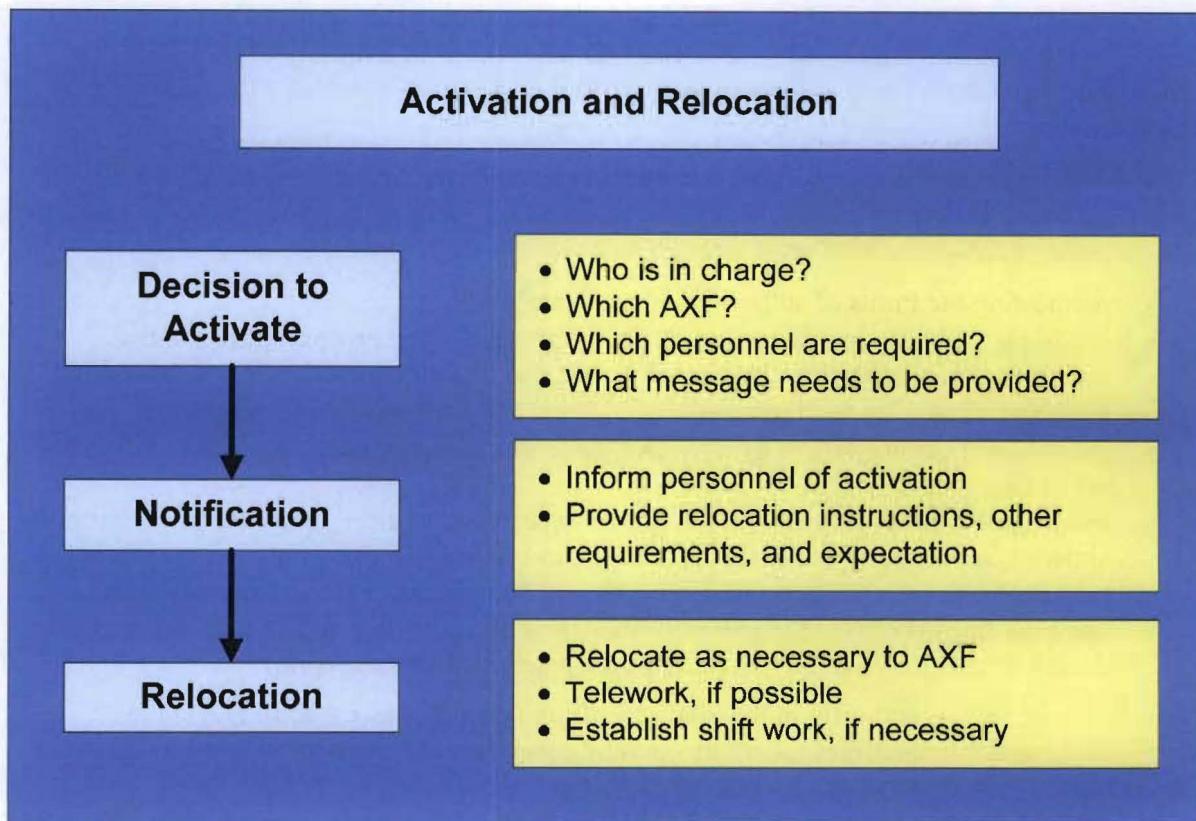
3.4 Phase III: Continuity Operations

Phase III addresses continuity operations. This phase includes establishing and maintaining operations, performing EFs, establishing communications, accounting for personnel, and providing guidance for non-CEMT-CERG members.

3.4.1 Establishing Operations

After activation of the LANL COOP Plan and notification of personnel. The LANL CEMT-CERG will assemble at their primary operating facility or alternate facility as determined by the event.

3.4.2 LANL Continuity Emergency Management Team (CEMT)

With the activation of the LANL COOP Plan, the CEMT will stand up at TA-69-0033-Training Room. If the LANL EOC is not available, the LANL ERO and CEMT will move to the Alternate EOC at TA-49.

The CEMT will:

- facilitate and compile operational data;
- deliver information to LANL senior leaders, LASO Management, and CEMT-CERG members; and
- coordinate with EO-EM activities.

The goal is to provide relevant information that frames situational awareness by:

- monitoring media coverage,
- reviewing intelligence sources, and
- analyzing information from sources inside and outside of the Laboratory.

Senior leaders need to make informed decisions on issues concerning the Laboratory's execution of its EFs. The CEMT reports directly to the CEMT Director (COOP Manager or designee) (i.e., Emergency Director; AD for Safeguards & Security). The CEMT may need to be organized to operate continuously (24/7) for up to 30 days, or as directed.

Note: The LANL Emergency Director and Emergency Manger or their designees are part of the CEMT.

The CEMT will operate as needed, continuously (24/7) or until directed otherwise. Selected organizations are expected to have a designated CEMT representative available at all times, although it may not be necessary for all of the CEMT representatives to be present in the Emergency Operations Center (EOC) Training Room. The COOP Manager and EM representative will determine those CEMT representatives that must be present in the EOC at any given time. The Emergency Operations Division (EO-DO), Emergency Management Group (EO-EM), and the CEMT must work cohesively as the nature of either activation may affect the other.

3.4.2 LANL Continuity Emergency Response Group (CERG)

At LANL, CERG personnel are drawn from PMEFs, MEFs, and ESAs; these personnel actually perform the Laboratory's EFs. They should be designated as "mission critical emergency employees." Their functions include performance of the following:

- PMEFs/MEFs – generally, a subset of their regular duties;
- ESAs, including:
  - *Communications,*
  - *Security,*
  - *Information Technology,*
  - *Business Functions,*
  - *Records and Correspondence Management,*
  - *Human Capital Management,*
  - *Legal Support,*
  - *Public Affairs, and*

- *Facilities Management.*

Personnel on this team may also be required to perform "other duties as assigned" as circumstances or the situation warrants.

CEMT-CERG members will work from their primary work place or an alternate, if available and appropriate, which includes tele-work locations. LANL will consider issuing designation letters for personnel who are determined to be essential and those capable of tele-work.

3.4.3 LANL CERG Teams

LANL CERG Teams are structured within each PMEF, MEF, and ESA to provide leadership, representation, decision making, and accomplishment of EFs/ESAs.

For each CERG position that must be staffed during an event, as many as five personnel should be identified to account for the possibility that:

- 24/7 operations (shift work) may be necessary, requiring multiple personnel to fill one position;
- At any given time, some emergency personnel may be on travel or leave and unable to respond; and
- During a Continuity emergency, some personnel expected to respond may be unavailable for any number of other reasons.

CERG members should be issued a designation letter by their respective office, identifying their specific duties and responsibilities. A sample designation letter is contained in Attachment 2. The appropriate EF Plans should identify the CERG members, their respective roles, and their 24/7 contact information.

COOP is "activated" once the responsibility for performing EFs has been identified and determined if relocation of the CEMT-CERG is applicable.

Each PMEF CERG members will be unique to the work they perform; the members are identified via the PMEF plans/procedures.

3.4.4 Vital Records Program

Another critical element of a continuity plan is the Vital Records Program (VRP). The VRP supports the continuation of essential functions of an organization during and after an emergency/disaster. The VRP must (a) identify, protect, and maintain vital records that are essential to resume the continuity of LANL operations during an emergency; and (b) protect the legal and financial rights of the Laboratory and the individuals affected by its activities. Vital records, regardless of media, must be readily accessible to support the continuation of essential functions of the Laboratory during and after any emergency/disaster.

There are two types of Vital Records, which are defined as:

A. **Emergency Operating Records:** These include records and databases essential to the continued functioning or the reconstitution of organization's operations during and after any emergency or a disaster. Examples of these records include *(Note: The following list is not all inclusive and may vary depending upon the essential functions of an organization):*

- *Emergency plans and directives;*
- *Emergency staff and their responsibilities;*

- *Orders of succession;*
- *Delegation of authority;*
- *Staffing requirements;*
- *Vital records inventory; and*
- *Information and databases essential to the continued functioning of systems and equipment.*

B.   Legal and Financial Rights Records: These include records critical to carrying out an organization's essential legal and financial functions, and vital to the protection of the legal and financial rights of individuals who are directly affected by your office activities. These records include those with such value that their loss would significantly impair the execution of essential office functions, to the detriment of the legal or financial rights and entitlements of your office and the affected individual(s). Examples of these records are *(Note: the following list is not all-inclusive and may vary depending upon the essential functions of an organization)*:

- *Accounts receivables;*
- *Payroll, financial, and budget;*
- *Official personnel records;*
- *Social security,*
- *Retirement;*
- *Insurance records;*
- *Property management and inventory records; and*
- *Information on electronic systems that support personnel and financial systems.*

For Further guidance on identifying, protecting, maintaining, and managing vital records, refer to LANL procedure P 1021, *Vital Records Program.*

3.4.5   Communications

The ability of LANL to execute its EFs depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems during emergency and COOP events. The capabilities of communications and IT systems (e.g., secure and non-secure voice systems, video conferencing, fax, and other messaging capabilities) to be used during an incident should mirror those capabilities used during day-to-day operations, and the choice of communications and IT systems should consider how resilient those systems are and how capable they are of operating under conditions that may involve power or other infrastructure disruptions. All necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases within 12 hours of continuity activation. LANL needs to plan accordingly for EFs that require uninterrupted communications and IT support.

The Office of the Chief Information Officer (CIO) is responsible for ensuring secure and non-secure voice and data communications capabilities at LANL and that secure and non-secure data residing on servers are mirrored between offsite locations and the devolution site to enhance LANL's disaster recovery posture. Each EF is responsible for ensuring all information is backed up and recoverable.

Continuity Operations

Establish Operations
- Establish Continuity Emergency Management Team (CEMT)
- Notify Stakeholders/Partnerships
- Establish communications with field activities and partners
- Monitor MEFs & ESAs

Sustain Operations
- Monitor MEFs & ESAs
- Keep leadership apprised
- Communicate with employees
- Conduct accountability
- Provide situation reports

The following information identifies the LANL communications capabilities at LANL that support the performance of LANL EFs and the ability to communicate among appropriate (CERG) personnel, interagency partners, National leadership, and other emergency facilities. *The LANL COOP Program will develop a COOP Notifications and Communications Plan in FY11.*

Minimum Requirements for Continuity Communications Capabilities

Telephone and Facsimile:
- Non-secure
- Secure
- Secure Terminal Equipment (STE)
- Secure Fax Equipment

Data Networks and Email:
- Unclassified
- Classified (Secret & Top Secret/SCI)
- SIPRNet (Secret Internet Protocol Router Network)
- JWICS (Joint Worldwide Intelligence Community System)

VTC (Video Tele-Conferencing):
- Non-secure
- Secure (Secret & Top Secret/SCI)
- Emergency Communications Network (ECN)
- Crisis Management System (CMS)

Backup Communications Capabilities:
- High Frequency Automatic Link Establishment (HF ALE) Network (Top Secret)
- Mobile Satellite Service (MSS) (Top Secret)

Priority Access and Provisioning:
- Telecommunications Service Priority (TSP)
- Government Emergency Telecommunications Service (GETS)
- Wireless Priority Service (WPS)

Mobile / In-Transit Communications:
- Secure Cellular Telephone (Top Secret)
- Sectera GSM Cellular Telephone
- Mobile Satellite Service (Top Secret)
- Iridium, DOD Enhanced Mobile Satellite Services (EMMS)

Priority Access and Restoration:
- Government Emergency Telecommunications System (GETS)
- Wireless Priority Service (WPS)
- Telecommunications Service Priority (TSP)

Additional systems (forthcoming)
- Notification and Accountability Systems
- Communicator! NXT (Dialogic)
- RingCentral
- Other
- Secure Information Management Exchange System (SIMEX)

GETS allows our Emergency Responders and CEMT-CERG community to communicate over existing Public Switched Telecommunications Network (PSTN) paths with a high likelihood of call completion during the most severe conditions of high-traffic congestion and disruption.

WPS gives authorized Emergency Responders and CEMT-CERG personnel priority access to available cellular resources during emergency situations. In addition, WPS is complementary to, and can be used in conjunction with, the Government Emergency Telecommunications Service (GETS). This combination ensures a high probability of call completion in both the landline and cellular portions of the PSTN. WPS serves Emergency Responders and CEMT-CERG needs while minimizing impact on the general public's access to the same cellular infrastructure.

Communicator! NXT (Dialogic) delivers the most advanced, yet easy-to-use, notification solution. It delivers voice and text messages to virtually all devices (e.g., phone, pager, Blackberry, etc.), placing important information into the hands of those who need it most. Also, the software intelligently gathers the feedback necessary for timely and appropriate response.

3.4.6 Accountability

During a continuity event, each applicable LANL Field Element, and Contractor is required to account for all personnel, including those at off-site locations, those on administrative leave, personnel on travel, casualties, and missing personnel.

During time of crisis, especially in the days after an event, personnel accountability is critical.

LANL shall establish personnel accountability of both CEMT-CERG and non-essential personnel. *Actual conduct of accountability will be incident-dependent*.

During natural or manmade disasters affecting all LANL personnel and facilities, all personnel will report their status to their chain of command. Personnel accountability information will be collected from the chain of command and provided to the LANL COOP Manager/Coordinator and /or Emergency Director-Emergency Manager via the EOSC.

The priority of every LANL employee is to make every effort to contact his or her supervisor, personnel accountability representative, or chain of command first to advise them of their status.

LANL may use web-based activation systems, email alerts, and phone trees as methods to report personnel accountability status. The Laboratory may also establish a group e-mail, web link, or a Personnel Accountability Hotline. LANL will research and advise management on a system that will meet the requirements of accountability during FY11.

> **Note:** LANL has not determined how long it will take for us to have accountability of our CEMT-CERG and ERO "essential personnel." LANL will rely on our PMEFs to report accountability of personnel to the COOP Manager/Coordinator as soon as possible.

3.4.7 Human Capital

The top priority during any emergency or other unusual situation (including severe weather or pandemic influenza) is the safety and welfare of LASO, LANL, and contractor employees and their families, as well as visitors or guests at LANL facilities. The term "employee" refers to LASO, LANL, and contractor staff, unless so designated.

References: https://policy.lanl.gov/pods/policies.nsf/GPs/GP7+HUMAN

- P701-1, *Acting Positions*
- P713-1, *Reduction in Force*
- P720, *Employee Responsibilities*
- P730-3, *Sick Leave*
- P730-6, *Authorized Leave with Pay*
- P730-11, *Leave Without Pay*
- P730-12, *Absence Without Leave*
- P730-13, *Family and Medical Leave*
- P730-14, *Catastrophic Paid Leave*
- P761, *Work Schedules*
- P765, *Employee Time and Effort*

Considerations for non-essential personnel:

- Staffing flexibilities;
- Work schedules;
- Relocation;
- Tele-work;
- Processing pay and personnel actions;
- Communications during a Continuity Event;
- Status of Non-CEMT-CERG Employees during a Continuity Event;
- Accountability;

- Next of Kin procedures and emergency contact information procedures
  - (LASO will use its own procedures);
- Next of Kin notifications
  - (LASO will conduct its own notifications);
- Providing information to family members and the general public;
- Emergency contact information;
- Personal/family preparedness;
- Personal preparedness Go-Kits (Personal Items)
  - (see http://www.redcross.org/services/disaster/ beprepared/familyplan.html);
- Sleeping accommodations and clothing;
- Family emergency plan; and
- Employee Assistance Program (EAP).

3.4.8 Designation of Essential (Emergency vs COOP) Personnel and Positions

Each EF is responsible for designating its essential (emergency) personnel and maintaining a list, categorized as "COOP response personnel" or "essential personnel" employees. This category includes personnel needed to perform organizational EFs. These personnel may be members of the CEMT-CERG, although they may be identified during or after an event.

3.4.8.1 Emergency Response Personnel

"Emergency Response" personnel are employees who perform emergency response roles and responsibilities such as fire department, police/pro-force, emergency managers, emergency response teams (HAZMAT, HDT), and emergency response organization (ERO) members. They respond to the emergency event or the emergency operations support Center (EOSC) to support the emergency and assist Incident Command in mitigating the event.

3.4.8.2 COOP Response Personnel

"COOP response" personnel directly support PMEFs and MEFs, and they may be members of the CEMT-CERG. Mission-Critical Employees are expected to remain in close contact with their management and may be activated during emergencies involving National security, extended emergencies, or other unique situations.

3.4.8.3 Essential Personnel

"Essential Personnel" are employees who support our Essential Service/Support Activities (ESAs) and who are critical to LANLs operations in dismissal; closure situations; maintaining equipment in safe configurations; supplying materials/deliveries to keep LANL in a safe stand-by mode. Essential Personnel are expected to report for or remain at work in dismissal, closure or other situations, unless otherwise directed by their management.

3.4.9 Designation Letter

Designated "COOP Response Personnel" or "Essential Personnel" may be issued a designation notice that identifies the emergency-continuity situations in which "mission-critical" employee will be expected to report for work. The letter should include whether they must report for work at their regular worksites, alternate worksite or tele-work, and what duties they will be expected to perform during a COOP event.

LANL will define who needs a designation letter like the CEMT as it is not necessary for the EFs

to have each employee receive/sign one just to be doing his or her job (see Attachment 2: Designation Letter/memo).

3.4.10 Staffing Flexibilities

During a continuity event, LANL-LASO senior management will need to determine work schedules for non-essential personnel; however, heads of specific offices (LASO, LANL ERO, SOC-LA, Asset Teams, etc.) will determine who will work, when, and where. With the possibility of 24/7 coverage, CEMT-CERG members should expect to have their normal work schedules changed. For all other employees, work schedules will be determined based on circumstances. Employees may be placed in an excused absence administrative leave status and will be expected to resume work as soon as possible. If employees are to remain home they should be fit for duty, and if cleared to do so may work from home via Tele-work.

3.4.11 Work Schedules

During a Continuity situation, CEMT-CERG members should expect to have their normal work schedules changed and work overtime. Employees who are on leave should return to duty as quickly as possible. Any annual leave that was scheduled is cancelled as an exigency of LANL business.

3.4.12 Relocation

Should Continuity of Operations activation be declared, some designated CEMT-CERG members may be expected to report to an alternate facility (TA-69-0033) to establish operations and perform EFs. Other employees may be directed to go home initially and report to a primary-alternate facility at a later time to support shift work or to work from home.

In the event that the CEMT-CERG must relocate to another facility within the same commuting area, there are no deployment issues. To the extent possible, employees will perform work that is a regular part of their job; however, because of the small staff size, it is not unusual for employees to be given assignments outside their normal duties.

> **Note:** Even though an employee was hired without knowledge of having to be deployed at some future time, case law does not prohibit management from requiring an employee to be on Temporary Duty at any time, so there is no adverse impact on an employee's condition of employment, which would serve as a basis for a complaint.

All non-CEMT-CERG employees will normally be directed to go, or remain at, home until further instructions are provided through their management chain or LANL's CGA plan. However, employees are expected to make every effort to remain available and in close contact with their management to perform work at home, providing they are able to connect to the Internet.

The duration of the relocation or evacuation for each affected employee depends on the situation. Senior management must make those decisions based on the facts as they evolve at that time. However, employees are expected to return to their primary or alternate facility as soon as instructed, providing that their personal and family needs are reasonably met. *In the event that an employee fails to return after reasonable notification, this should be treated as insubordination.*

3.4.13 Tele-work

Recent guidance on emergency planning emphasizes the role of tele-work. In any emergency situation that involves national security, extended emergencies, or other unique situations, tele-work should be considered. CEMT-CERG members should have contingent tele-work agreements for continuity events to support our PMEFs to the fullest extent possible. LANL non-essential personnel should also be considered for tele-work, as this would encourage productivity during unique events/closures, rather than paying for non-productive hours.

3.5   Phase IV: Reconstitution

Reconstitution is the process by which surviving and/or replacement LANL personnel resume normal operations at the original or replacement primary operating facility. Reconstitution embodies the ability of an EF and/or mission critical operations to recover from an event that disrupts normal operations and consolidates the necessary resources so that the Laboratory can resume its operations as a fully functional entity of the Federal Government. In some cases, extensive coordination may be necessary to procure a new operating facility. If an agency suffers the complete loss of a facility or if collateral damage from a disaster renders a facility structure unsafe for reoccupation, recovery and reconstitution will need to be determined on a case-by-case basis. Determination of reconstitution is an inherently federal function due to the need for capital acquisition

Reconstitution

- Evaluate reconstitution options
- Plan return to normal operations
- Keep personnel informed
- Transition to normal operations
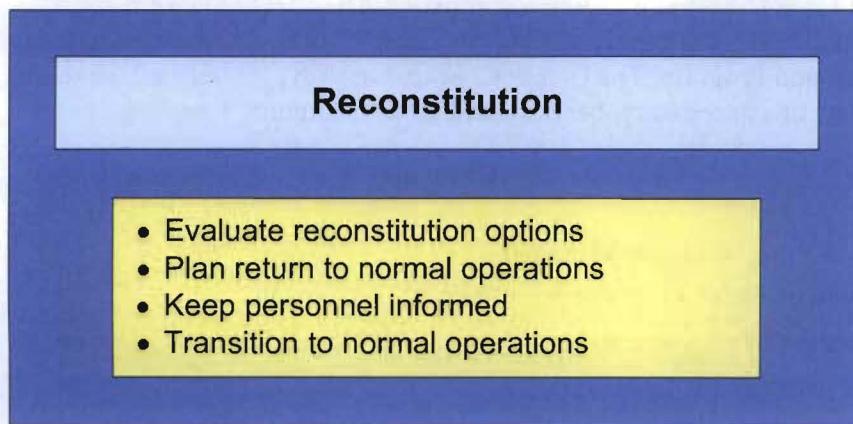
4.0   ROLES AND RESPONSIBILITIES

This section defines mitigation, preparedness, and response responsibilities necessary to assist in preparedness and response to a continuity event. Planning, preparedness, and response activities related to the COOP program include the development and maintenance of the LANL COOP Plan, COOP Implementation Plans, and EF plans and/or procedures that address specific elements of the continuity program.

4.1   LANL Continuity Program Manager

The LANL Continuity Program Manager is responsible for activities related to the strategic development, coordination, implementation, and maintenance of the LANL COOP Program and the COOP Plan. The LANL Continuity Program Manager is also responsible for the

development and implementation of the LANL COOP Plan for LANL Director and the Site Office Manager, which documents the LANL COOP Program, implements the LANL COOP Program, and provides guidance to LANL's EFs and their plans/documents.

4.2 COOP Program Leadership

DOE O 150.1 requires that organizational leadership:

- Identify and prioritize EFs;
- Appoint a COOP Coordinator;
- Appoint an alternate COOP Coordinator;
- Develop and approve a resourced COOP program with on-going leadership involvement;
- Support, develop, approve, and maintain a COOP Implementation Plan;
- Develop and approve mitigation strategies to protect vital records, information technology, and equipment systems and other assets; and
- Conduct tests and training, and participate in continuity exercises.

4.3 COOP Coordinator

The Laboratory has a COOP Coordinator and two alternates to administer and serve as the continuity points-of-contact; LASO also has a COOP Coordinator. The COOP Coordinator is responsible for activities related to the strategic development, coordination, and maintenance of the organization's COOP Plan and Program. The COOP Coordinator provides updated personnel notification lists on a quarterly, or as necessary, basis to the LANL Continuity Program Manager.

This position will additionally:

- support the LANL Continuity Program Manager;
- ensure proper activation of their COOP Program/Plan;
- ensure effective utilization of response and recovery assets designed into the program;
- maintain GETS/WPS list/POC for LANL-LASO;
- schedule and conduct meetings and provide training, testing, drills, and exercises;
- participate in training, testing, drills and exercises;
- document the Program;
- maintain plans and procedures;
- assist with assessments;
- maintain/revise applicable COOP documents; and
- perform additional duties as determined.

4.4 Continuity Emergency Management Team (CEMT)

The LANL Continuity Emergency Management Team (CEMT) forms upon activation of the LANL COOP Plan. The LANL CEMT is comprised of appropriate LANL management positions and non-management positions, which are needed to support the COOP Program and implement appropriate levels of strategic planning and activities to viably provide for our EFs. The LANL

CEMT is responsible for the overall coordination of continuity activities including:

- notification of a continuity event;
- accomplishment of EFs;
- providing Operations Support:
  - *establishment of operational capability at TA-69-33;*
  - *operational planning;*
  - *coordination of operations at alternate facilities; and*
  - *support, as required, to the leadership and response teams.*
- providing Logistical Support:
  - *office space support;*
  - *personnel accountability; and*
  - *assistance with interoffice/interagency communications.*
- providing Planning Support:
  - *Short- and long-term planning.*

5.0   TRAINING, TESTING, AND EXERCISE (TT&E)

DOE O 150.1, *Continuity Programs*, requires that a "COOP Training, Testing and Exercise (TT&E) program be developed and implemented to assess, demonstrate and improve the Laboratory's ability to respond to a continuity event." DOE O 150.1 also requires that a "Multi-Year Training, Testing and Exercise Plan along with a planning calendar addressing exercise requirements and resources to support these activities, must be developed and implemented."

The goal of the LANL COOP TT&E program is to establish an effective training and exercise program and schedule to assist the Laboratory in preparing and validating the Laboratory's continuity capabilities. The TT&E Program should be integrated as much as possible with the LANL exercise program and training, drills, and exercises relating to the Occupant Emergency Plans Program, the Pandemic Response Plan, and the Operational Emergency Management Program.

The LANL COOP CRAR further discusses the requirements for an integrated TT&E program, which will be coordinated with the current EO-DO TT&E Program as much as possible.

5.1   TT&E Requirements

Specific requirements are given in DOE O 150.1 regarding COOP TT&E. These requirements must be met in the TT&E program and will be defined in the CRAR.

5.1.1   Training

- LANL Employees and Contractors: annual COOP awareness training
- CEMT-CERG Members: annual individual and team training
- Designated Successors: annual briefing on responsibilities to carry out emergency duties during a continuity event.

5.1.2 Testing

- Alert and notification procedures and systems (annually).
- Communications equipment at the Emergency Operation Center and alternate Emergency Operation Centers, per the EO Exercise Program and Assessment Schedule.
- Vital records, critical information systems, services, and data (annually).
- Primary and backup infrastructure and services at the alternate facilities (annually).

5.1.3 Drills/Exercises

- Formally documented continuity drills and exercises (annually).
- Comprehensive debriefing following exercise will be a Hotwash and critique.

LANL COOP TT&E continues to be developed and will be described in depth in EPP-COOP-004, *Continuity Readiness Assurance Report.*

Records regarding the dates of the TT&E, personnel involved, what the TT&E included, results, and lessons learned need to be maintained by the COOP Coordinator and documented in the LANL CRAR. Each PMEF's TT&E program must be documented and made available to the LANL COOP Coordinator and DOE upon request.

6.0 CONTINUITY READINESS ASSURANCE PROGRAM-PLAN

A Continuity Readiness Assurance Program ensures that EFs can be performed during a continuity event and documented in the Continuity Readiness Assurance Report (CRAR).

The Continuity Readiness Assurance Program assists in ensuring that MEFs and ESAs can be performed during a continuity event. It should outline a systematic and structured approach to carrying out and/or incorporating the results of assessments into the Continuity Program, plan and track corrective actions to address inadequacies, develop lessons learned to be shared, document the Continuity Readiness Assurance Program, and summarize readiness in an annual Continuity Readiness Assurance Report (CRAR).

The Continuity Readiness Assurance Program is comprised of three elements: assessments, improvements, and documentation in the CRAR. LANL has opted to document our COOP Readiness Assurance Program in our CRAR.

Each National Nuclear Security Administration (NNSA) contractor is required by DOE Order 151.1C, *Comprehensive Emergency Management System*, to complete assessments of the Contractor's emergency management program. The LANL Emergency Management System consists of 15 elements identified in DOE O 151.1C. A 16th element, LANL Continuity of Operations (COOP), identified in DOE O 150.1, *Continuity Programs*, will be added to the Emergency Management Assessment Program, and included in the Self Assessment schedule located in EPP-PLAN-100, R2.1, *Emergency Readiness Assurance Plan (ERAP)*.

The LANL Emergency Management self-assessment process, to include Continuity of Operations, includes a standard set of specific evaluation criteria, documentation of objective evidence demonstrating how criteria are met. Data collection activities consist of documentation reviews and interviews of personnel assigned to key positions.

6.1 Assessments

Assessments are conducted on the continuity programs, exercises, and actual events in order to identify lessons learned (strengths, improvements, deficiencies) and provide assurance that continuity capabilities are sufficient. Assessment activities can include program and exercise evaluations and tracking performance indicators.

DOE O 150.1, *Continuity Programs*, indicates that self assessments are to be conducted annually. Self assessments can be based on program evaluation, exercise evaluation, and/or actual events. The results of the self assessments should be included in the CRAR.

Assessments are to be based on the requirements of DOE O 150.1. Using Contractor Required Documents (CRDs) and the Continuity Technical Assistance Program (CTAP) tool will assist us when conducting our assessments.

6.1.1 Assessment Report

The LANL Emergency Operations Division (EOD) Assessment Report of the LANL Emergency Management Program and Continuity of Operations will include the following components:

- Executive Summary
- Purpose
- Scope
- Assessor
- References
- Evaluation Criteria
- Assessment Report Summary

6.1.2 Evaluation Criteria

Assessment Evaluation Criteria for the Emergency Management Program is located at: http://int.lanl.gov/orgs/eo/doccontrol/sa.shtml

6.1.3 Performance Goals

Performance Goals for the Emergency Management Program are located at: http://int.lanl.gov/orgs/eo/doccontrol/sa.shtml

6.2 Performance Feedback and Improvement Process

Noted findings and OFIs and Lessons Learned will be evaluated by the EO MRB and, if determined to be a Category II issue or higher, the finding/OFI will be entered into the Performance Feedback and Improvement System (PFITS) and the LASO Emergency Management Program Manager (EMPM) will be notified when the Laboratory believes it has completed the requisite corrective actions. If the finding/OFI is determined to be a Category III issue or lower, the finding/OFI will be tracked in the Performance Feedback and Improvement Process (PFIP).

6.3 Continuity Readiness Assurance Report

The Continuity Readiness Assurance Report (CRAR) documents the readiness of the LANL Continuity Program, based on planning actions, preparedness activities, and results of

assessments. The report is a planning tool to identify and develop needed resources and improvements and to highlight changes, achievements and deliverables in the program. The report identifies goals for the upcoming fiscal year and for the prior fiscal year.

As with DOE O 151.1C, Emergency Readiness Assurance Report (ERAR), Field Elements provide an approved copy to the appropriate program office (LASO) and the Director, Office of Emergency Operations, by November of each year.

The Continuity Program Manager consolidates all the CRARs into an annual continuity readiness status report of all the Laboratories and Field Sites, which is then submitted to the Deputy Secretary no later than April 30 of each year.

LANL has a CRAR, EPP-COOP-004, and it is revised annually and transmitted to LASO no later than October 31 of each year.

6.4   Continuity Readiness Assurance Program

Readiness of LANL's continuity capability is documented in the CRAR. This report reflects the continuity capability of our PMEF.

The CRAR is also used to:

- validate our COOP documents; and
- ensure we are meeting the elements of DOE O 150.1, *Continuity Programs*, and fiscal year deliverables.

6.4.1   Requirements

As indicated in DOE O 150.1:

- LANL must develop and submit a CRAR to the Los Alamos Site Office Manager for review and distribution to the DOE/NNSA COOP Manager.
- CRARs must be provided to the Director, Office of Emergency Operations, by November 30 of each year.

6.4.2   Continuity Readiness Assurance Reports Contents

The format of the Continuity Readiness Assurance Reports is:

- Description of Program;
- Summary of overall status – Summary should be brief describing the overall status (such as if the program is established/abolished/developing/mature/evolving/beginning);
- Overall readiness – The level of readiness of the continuity program should be described (commendable/acceptable/ marginal);
- Identification of office essential functions (PMEFs/MEFs/ESAs) (list the essential functions and activities of the office);
- Indicate if they are Laboratory PMEFs or if they support the Laboratory's PMEFs;
- Status of COOP Plan/COOP Implementing Plan/procedures – Indicate the status of the office COOP Implementation Plan or the field element/site COOP Plan.
  - *indicate the date of completion,*
  - *indicate the date of last review, or*
  - *identify whether the plan is in draft.*

6.5 Program Application

- Summary of preparedness activities (test, training, and exercises);
- Description of the preparedness activities that have been accomplished for the fiscal year. Preparedness activities include:
  - *tests (i.e., communications, equipment, notification, accountability);*
  - *training (i.e., COOP Awareness Training, CEMT-CERG training, drills);*
  - *exercises (i.e., tabletops, full scale); and*
  - *any test, training, or exercise involving continuity that may have been included as part of another exercise, such as an emergency management exercise or an occupant emergency fire drill.*

Assessment Activities (program evaluation, exercise evaluation, actual events) – Give a description of what assessment activities (i.e., program evaluation, exercise evaluation, actual events) were performed and who performed the assessment (i.e., self assessment, external organization, contractor oversight, programmatic oversight). Summarize the results (findings) of the assessments.

Improvement Items/Corrective Actions – Indicate improvement items needed, based on the assessments. Describe the corrective action for each improvement item. The description should include the action needed to be performed, the timeline to completion, and the responsible party. Indicate if the corrective action is being tracked, and where.

Resource Requirements – List the resources needed to implement the continuity program at the office/site. Describe in terms of budget, manpower (FTEs), and equipment.

Constraints – Are there constraints in resources or other areas that affect the process of continuous improvement of the program? What are the constraints, and how are they affecting the program? This section is for issues that are unique to the office/site that need to be brought to the attention of senior management.

6.6 Program Goals/Program Achievements

Describe the goals for the fiscal year just completed and the degree to which these goals were accomplished. What changes and achievements have been made in the program? Indicate the projected goals for the next fiscal year.

7.0 LANL CONTINUITY OF OPERATIONS PLAN MAINTENANCE

The LANL COOP Plan is a living document that reflects the continuously changing nature of LANL's mission, people, and priorities. As such, periodic review and update of policies, priorities, and data is necessary to ensure LANL maintains a viable COOP capability and Program. The Appendixes to this Plan may be updated, as needed. Revisions to the LASO COOP Plan, Attachment 4 do not require revisions to this plan. The latest revision of LASO COOP Plan, available on the LASO Intranet, should be inserted as Attachment 4 at the point of use.

The Office of Emergency Operations (NA-40) has the overall lead for ensuring that LANL's Continuity of Operations Plan is reviewed and updated annually. Individual LANL offices are equally responsible for reviewing and updating those portions of the Plan that directly involve or affect them, as well as their individual EF Plans and/or Procedures. A schedule in the CRAR outlines the minimum frequency with which portions of this Plan shall be reviewed. More frequent reviews based on reorganizations or personnel and policy changes are appropriate.

A record of the reviews shall be kept by LANL, with copies provided to LASO NA-40, Continuity Program Offices.

8.0 APPENDICES

Appendix A: PMEF/MEF/ESA List

Appendix B: PMEF Plan/Procedure Crosswalk

Appendix C: Authorities and References

Appendix D: COOP Scenarios

Appendix E: Glossary and Acronyms

Appendix A: PMEF/MEF/ESA LIST

An effective Continuity Program is implemented through its related continuity plans and procedures. Continuity planning is an effort to document and ensure the capability of continuing Laboratory PMEFs, MEFs, and ESAs, during a wide range of potential emergencies

The LANL COOP Plan outlines the plans and procedures LANL will follow during continuity events. This Appendix identifies the "pre-determined" and "approved list" of LANL's EFs.

A.1 Essential Functions

The purpose of this Appendix is to provide information on LANL's EFs:

Once a function is considered an EF, additional data is needed, including:

- **Interdependencies:** Links to other LANL offices, sites, National laboratories, Government agencies, private entities, States, and locals need to be identified
- **Repercussions:** Information on the repercussions of what would happen if the function is not performed. What operations/products are impacted?
- **Inputs and Outputs of the Function:** What is needed to execute this function in terms of resources (data, expertise, physical equipment), and what is the product or output (analysis of information, recommendations)?
- **Leadership:** Who provides leadership for the function? Is the leadership from within the organization or from outside?
- **Staff Key Element:** Who are the personnel needed for this function?
- **Communications Key Element:** What communication capabilities are needed to accomplish the function?
- **Facilities Key Element:** What facilities are needed to perform this function?

*Laboratory EFs are those that have been identified in the latest review. If an office thinks that it has an MEF/ESA that has not been identified, they should contact the LANL COOP Manager and notify the COOP Coordinator.

A.2 List of Primary Mission Essential Functions (PMEFs), ,

LANL PRIMARY MISSION ESSENTIAL FUNCTIONS (PMEFS)

1. Protect LANL SNM
   - Ensure SNM Accountability
   - Protect LANL Property
2. Ensure LANL Response Team's Capability
   - Ensure National Security Assessment Capability

LANL PRIMARY MISSION ESSENTIAL FUNCTION (PMEF) # 1

Protect and Account for LANL Special Nuclear Material (SNM)

Descriptive Narrative:
Assure the credibility, viability, reliability and security of U.S. nuclear weapons capability.
Assure the prompt availability of technical experience, skills, and capabilities, including from the DOE nuclear weapons complex laboratories. Assure the safety and security of essential nuclear

weapons complex materials, equipment, facilities, and other DOE nuclear materials.

- Securely handle, store, and transfer nuclear materials at all times
- Validate nuclear material inventories (accountability-LAMCAS system)
- Protect LANL Property

Implications if Not Conducted: If the Laboratory does not ensure the safety, security, and reliability of nuclear weapons, they may not be readily available when required and nuclear material or weapons could be diverted to unauthorized uses, which could compromise national security. Loss of control or accountability of nuclear materials could also lead to severe economic and/or public health consequences. A by-product of not ensuring security and reliability of the nuclear weapons stockpile is that our nuclear weapons program could lose credibility, thereby eroding national and international confidence in our deterrence capabilities.

Associated DOE PMEF #1

Maintain the safety and security of nuclear materials in the Department of Energy (DOE) Complex at fixed sites and in transit.

Associated DOE MEF #1 and #2

1. Safeguards and Security of nuclear materials (material, weapons and devices) at DOE sites and facilities.

2. Safeguards and Security of nuclear materials (material, weapons and devices) in transit.

LANL PMEF # 2

Ensure LANL National Response Team's Capability

Descriptive Narrative: Execute responsibilities under the NRF and other similar plans and agreements. Maintain the capability to immediately notify, alert, mobilize, and deploy radiological emergency response assets, assistance, and/or support on both a domestic and international basis because of emergencies or significant incidents. Provide technical expertise on nuclear and radiological matters and available analytical capabilities of DOE sites and National Laboratories.

- Rapidly respond to emergencies involving nuclear weapons, materials, or facilities, including securing vulnerable foreign nuclear materials
- Respond to a nuclear incident, both domestically and internationally, resulting from terrorist activity, natural disaster, accident, emergency event.
- Nuclear Weapons Incident Response-Nuclear Emergency Support Team provides technical assistance to a lead Federal Agency on various incidents including terrorist's threats involving the use of nuclear materials.
- National Technical Nuclear Forensics Program, which enables operational support for pre-detonation and post-detonation nuclear forensics and attribution
- National Weapons Incident Response – Stabilization Implementation Program – leverages and develops "Render Safe" technologies that can be applied by teams to isolate and stabilize a nuclear device until the National response team arrive to render it safe

Implications if Not Conducted: If the laboratory does not support our home teams and their ability to respond effectively to emergencies or incidents involving locally or nationally to nuclear and radiological materials, the safety and health of citizens will be jeopardized.

Associated DOE PMEF #2

Respond to a nuclear incident, both domestically and internationally, caused by terrorist activity, natural disaster or accident, including by mobilizing the resources to support these efforts.

Associated DOE MEF #4, 5, 6, 7, 8, 13, 14, 15, 17

4. Nuclear Weapon Incident Response – Nuclear Emergency Support Team (NEST) including ARG, RAP, NRAT, SRT, JTOT provides technical assistance to a lead Federal Agency to deal with terrorists threats, that involve use of nuclear material.

5. Consequence Management- Emergency Response Assets (AMS, NARAC, Consequence Management Teams, REAC/TS) provide assistance to local, state and other federal agencies in response to an emergency involving nuclear radiological materials as well as the detection of biological agents (Response under the NRF).

6. National Technical Nuclear Forensics Program which enables operational support for pre-detonation and post-detonation nuclear forensics and attribution program.

7. Stabilization Implementation Program – leverage Render Safe technologies.

14. Provide policy and technical leadership to limit or prevent the spread of materials, technology and expertise relating to weapons of mass destruction (nonproliferation).

LIST OF MISSION ESSENTIAL FUNCTIONS (MEFS)

LANL MISSION ESSENTIAL FUNCTIONS (MEFS) ENSURE THE AVAILABILITY OF COMMUNICATIONS CAPABILITIES (NIE)

1. Ensure the availability of Information Technology Capability (OCIO)

LANL MISSION ESSENTIAL FUNCTION (MEF) # 1

Ensure the availability of communications capabilities/systems (NIE)

Descriptive Narrative: LANL-LASO and DOE will need the ability to communicate (including secure communications) with everyone, anytime.

- LANL-LASO Leadership and other organizations
- LANL/NNSA laboratories, production facilities, and contractors
- State and local leadership
- Emergency Response
- Continuity of Operations contingency staffs, management and other organizational components

The tools that will facilitate communications include, but are not limited to: phones (including secure), radios, internet and procedures to maintain various communication systems.

Implications if Not Performed: The inability to communicate and interact both internally and externally could cripple LANL's and DOE's ability to perform their EFs.

Other Comments: Emergency Communications Systems must support connectivity, under all conditions among key leadership, internal elements, other agencies, critical customers and the public.

- Possess interoperable and available communications capabilities in sufficient quantity and mode and that are commensurate with the organization's responsibilities during emergency conditions.
- Possess communications capabilities that can support the organizations' senior leadership and key personnel while in transit.
- Be readily available and maintainable for more than 30 days or until normal communications can resume.
- Satisfy the requirement to provide assured and priority access to communications resources.
- Be of sufficient capabilities to accomplish the organization's EFs, whether from an organizations primary facility, an alternate facility, or a mobile unit.

LANL MEF # 2

Ensure the availability of Information Technology Capability and provide security of LANL and DOE programs and facilities (OCIO)

Descriptive Narrative: Maintain critical IT management systems, including access to data and systems necessary to conduct EFs and activities, data connectivity, internet access, email and blackberry.

Establish and implement information conditions (INFOCON) for LANL and DOE facilities. Ensure classification/declassification assets are immediately available to certify all outgoing and incoming email and attachments.

Implications if Not Performed: Information technology support is needed in order to accomplish LANL and DOE EFs. IT directly supports missions, provides data used to monitor the status of the nation's energy infrastructure, and assists in providing technical and scientific assistance and in the assessment of WMD proliferation threats. IT is used to communicate within and outside the laboratory. Without its availability, more time-consuming data collection methods would have to be used, which could lead to inaccurate data and wrong decisions affecting the health and safety of the nation.

ESSENTIAL SERVICE ACTIVITIES (ESA'S)

LANL ESSENTIAL SERVICE-SUPPORT ACTIVITIES (ESAs) (REQUIRES BCP)
1. Ensure support for facility operations/access via Maintenance and Site Services (MSS)
2. Ensure procurement support from Acquisition Service Management (ASM)
3. Ensure Uninterrupted Utilities for LANL and LAC from Utilities, (UI)
4. Provide for High Performance Computing services (HPC)
5. Provide for Network/computer support (DCS)
6. Ensure Communications to LANL personnel and stakeholders (CGA)
7. Respond to LANL Operational Emergency (EO-ERO)
8. Ensure Human Resources services/personnel (HR)

   Note: Some ESAs may be incident-dependent.

LANL ESAs
8. Nuclear Counterterrorism Design Support Program – provides for collaborative efforts with DHS and intelligence community for improvised nuclear device concept designs.

13. Eliminate or secure inventories of surplus materials and infrastructure usable for nuclear weapons (nonproliferation).

15. International Nuclear Materials Protection and Cooperation – prevent nuclear terrorism to secure and eliminate vulnerable nuclear weapons and weapons-usable material; and install detection equipment at border crossings and Mega ports to prevent and detect the illicit transfer of nuclear material.

17. Maintain technical expertise to respond to a national emergency (functions of DOE and other Departments and Agencies).

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY # 1

Ensure support for facility operations/access from Maintenance and Site Services (MSS-DO)

Descriptive Narrative: Primary mission is to provide LANL both nuclear and non-nuclear facilities, with safe, reliable and efficient infrastructure maintenance and utilities support. Services include but are not limited to stewardship of LANLs institutional maintenance program, deployed support for facility and programmatic equipment maintenance, oversight of subcontractors providing maintenance, and other services (electricians, plumbers, snow removal, road crews, heating/air=seasonal).

Implications if Not Performed: Failure to provide safe access to LANL and mission critical facilities due to weather; not ensuring maintenance of our critical facilities and providing services and personnel during emergency events at LANL could allow LANL to not be readily available when required to support the nation in a crisis. Failure to maintain the integrity of our facilities and efficiency of LANL EFs could prevent or harm the nation in meeting its obligations to the people of the US and could jeopardize the safety and health of our citizens.

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY # 2

Ensure Uninterrupted Utilities for LANL and LAC (UI)

Descriptive Narrative: Utilities and Infrastructure have several 24/7 operations like the sanitary waste water plant (TA-46 SWISH) and the Steam Plant.

Facility Supervisors respond to after hours abnormal conditions occurring at most facilities at the Laboratory (fire protection, road conditions/weather surveillance, after-hours building-security surveillance, equipment surveillance system failure notice, and response to unknown alarms). They determine and implement corrective measures to fix or stabilize these conditions and call our crafts personnel as necessary to make repairs.

Maps for LANL primary electric, water, sewer, steam, natural gas, secondary utilities, building, structure-grounds, fire roads/breaks, and structure locations are maintained by Utilities and Infrastructure.

Implications if Not Performed: If LANL does not act in response to a wide-scale, energy-related emergency for LANL and LAC, the energy infrastructure will be forced to attempt resolution on a State-by-State, County-by-County, or region-by region basis. LANL would experience a vulnerability if we loss fuel delivery for essential facilities/functions. Los Alamos County relies on LANL as their electric grid. Utilities can not be shutdown, if we loss control of our sewer, power, water, steam, and gas we would fail LANLs mission and facility critical responsibilities in maintaining our facilities safely and being ready to respond when necessary.

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY #3

Provide for High Performance Computing services (HPC)

Descriptive Narrative: High Performance Computing provides 24/7 support for our mission critical customers in Advanced Simulation Computing (ASC) which supports NNSA-defense programs, stockpile stewardship program (SSP), X-division and TA-55 (PITT Program). These programs support the nation in defense and nuclear weapons.

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY # 4

Provide for Network/computer support (DCS)

Descriptive Narrative: The Departmental Computing Services (DCS) Division provides the Laboratory with desktop and computing products and services, development, tools, software, and server administration that is critical to our EFs. The "Endpoint Security Team (EST)" provides a personal firewall client to computers with nearly transparent 24/7 protection form Internet born attacks.

Implications if Not Performed: Failure to support DCS could create vulnerability in our ability provide security, reliability, usability and supportability of the LANL desktop computing environment. Without the support of computing system security protection we are at risk of losing our information as well as hindering our mission critical and essential facility/functions from working to support emergency events and the nation.

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY # 5

Ensure Communications to LANL personnel and stakeholders (CGA)

Descriptive Narrative: Provide interface with the public, press, States, Tribal, Locals and other Federal agencies during an emergency event.

LANL needs to provide information and coordination with internal and external entities during continuity/emergency events. These outside entities include the public, the press, legislatures, States, Tribal governments, local governments and other Federal agencies. This could include information:

- To protect health, safety and the environment
- To provide timely notifications
- To restore public confidence in LANL and DOEs ability to manage an incident
- To provide timely and accurate facts
- To provide information on the magnitude of the incident
- To provide information on the duration of the event or continuity situation
- To provide information on who's in charge and
- To coordinate LANL-LASOs and DOEs actions

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY #6

Respond to LANL Operational Emergency (EO-ERO)
Ensure LANL Emergency Operations (first responders), ERO Capability

Descriptive Narrative: The LANL-EOC monitors emergency response; provide appropriate support and assistance; assist with the resolution and coordinate interagency, headquarters and public information activities at the local level to an Operational Emergency at LANL facility. Ensure the resources are available to respond to an emergency event or operational emergency.

Execute responsibilities under the NRF and other similar plans and agreements. Maintain the capability to immediately notify, alert, mobilize, and deploy radiological emergency response assets, assistance, and/or support on both a domestic and international basis because of emergencies or significant incidents. Provide technical expertise on nuclear and radiological matters and available analytical capabilities of DOE sites and National Laboratories.

- Rapidly respond to emergencies involving LANL personnel, facilities, property.
- Provide timely notifications during LANL emergency events
- Assist with the coordination of continuity capabilities
- Support continuity of operations, save lives, prevent human suffering and mitigate property damage
- Support LANL National Response Teams as required

Implications if Not Performed: EO is responsible for emergencies at LANL facilities in order to protect the health and safety of workers and the public. If the laboratory does not maintain the capability of its Emergency Operations Division personnel in EM, ER and EPP as well as other first responders for LAFD-EMS. The LANL population and the public may lose confidence in our ability to respond, mitigate and recover from emergency events on laboratory property.

LANL ESSENTIAL SERVICE/SUPPORT ACTIVITY # 7

Provide Human Resources services/personnel (HR)

Descriptive Narrative: The Human Resources (HR) division provides the following essential services/support to the Laboratory: benefits administration, staffing, and HR systems. Provision of these services is addressed in an HR-specific continuity of operations plan. Remaining HR services designated as non-essential for the continuity of operations plan include: compensation, diversity, performance management, workforce planning and education assistant. Employment services including complaint resolution, employee relations and labor relations, while not categorized as "essential," can be accessed on an as-needed basis by the HR division leader, respective group leaders and their staff through the existing telephone tree process.

Implications if Not Performed: Failure to maintain employee benefits access would cause undue hardship to Laboratory employees, staffing capabilities must remain in place to provide needed employees to address any emergency contingency, and HR systems provide necessary data entry and interface with Laboratory systems to meet overall HR service provision required by law.

Appendix B: PMEF Plan/Procedure Crosswalks

PMEF #1A: PROTECT SPECIAL NUCLEAR MATERIAL (SNM)

The mission of LANL's Protective Force (SOC-LA) is to provide for the safeguarding and security of LANL (DOE) special nuclear materials (SNM) and other security interests and to provide for the safety, health, and protection of personnel, the public, and the environment in the event of a natural or man-made disaster.

Due to the fact that SOC-LA performs their work daily regardless of an emergency or continuity event, it is deemed that their current plans and procedures will meet the intent of DOE O 150.1, *Continuity Programs* and address each of the individual elements of a COOP Plan, regardless of different verbiage.

SOC-LA's job of protecting our SNM does not allow for them to consider a devolution site, as they will remain on-site to protect our SNM regardless of the status of the facility. This is why we have put N/A for both devolution and reconstitution in the crosswalk below. SOC-LA is working on alternate facilities to be "warm site(s)" if they were to experience a loss of their primary facility at TA-64.

SOC-LA has a good beginning draft for an "SOC Continuity of Operations Plan" (UCNI, dated 11-19-09). It needs more development and will not replace the actual current documents in place to document their work processes/functions.

LASO-LANL is confident that SOC-LA will sustain its capability of performing its PMEF for LANL and the nation during an emergency and/or continuity event.

The Associate Director of Safeguards and Security (ADSS) maintains ADSS-PLAN-001-R1, *Security Condition (SECON) Implementation Plan* (May 2010) as the standard plan for responding to a threat at LANL. This document addresses the requirement elements of a COOP Plan for LANL ADSS personnel and responses to assure our SNM is protected and accounted for.

TABLE B-1: LANL PMEF #1A – Protecting SNM Document Crosswalk

Individual Elements of a COOP Plan	Procedure which meets the requirement
Delegation of Authority	SOC-LA Org Chart
Orders of Succession	SOC-LA Org Chart
Identify COOP Emergency Response Group (CERG)	- SOC-LA Org Chart - SOC-LA Plan "30308-R13, Emergency Recall Notification Plan," 06-02-2009 - SOC-LA Plan "Security Conditions (SECON) Implementation Plan" Rev. 7, 07-26-09 - LANL Site Safeguard and Security Plan (SSSP), Ch. 5 "Protective Force" 2009 - GSO#20 "Protection of SNM and Classified Materials," 06-16-09

Individual Elements of a COOP Plan	Procedure which meets the requirement
Alternate Operating Facilities	*Two locations are being worked on and will be identified in SOC-LA documents.*
Interoperable Communications	CAS-600 (back up is the SAS)
Vital Records	80510 Vital Records
Human Capital	SOC-LA procedures: • CAS-600: Shift Majors • CAS-602: Administrative Assistant Supervisor • CAS-SAS-604: SAS Supervisor • CAS-606: Desk Officer (scheduling) • SOC-LA Plan "30308-R13, Emergency Recall Notification Plan," 06-02-2009 • SOC-LA Health and Safety Program Procedure 10304-R01, Sec. 2.1, "Scope" 10-13-09
Epidemic/Pandemic Continuity Event-planning	LANL Pandemic Response Plan, EPP-COOP-0001
Training, Testing and Exercises	Training = 400002 Performance Testing/Exercising 95000 Series
Devolution of Control and Direction	N/A
Reconstitution	N/A
Readiness Assurance/Self Assessments	• 950000 Series • ADSS Performance Test / AAR • ES&H Communications (lessons learned=62010 procedure) • SOC-LA Procedure 10302-R03, "Quality Assurance Policy" Sec. Criterion #09, "Management Assessment," 10-09-08

PMEF #1B – ACCOUNT FOR SPECIAL NUCLEAR MATERIAL (SNM)

Materials Control and Accountability (SAFE-4) Group, provides safeguards program support to ensure effective accountability and control of nuclear materials at the Laboratory.

SAFE-4 ensures Laboratory compliance to DOE orders, manuals and requirements regarding Nuclear Material Control and Accountability. The current official accounting system is the Local Area Material Control and Accountability System (LAMCAS), used to track and account for Nuclear Material at LANL.

SAFE-4 has many procedures and resources that combined meet the intent for the requirements of a COOP Plan for this PMEF. In addition, LAMCAS has a Continuity of Operations Plan, SAFE-COOP-001, Version #1.6, July 2009.

Table B-2: LANL PMEF #1B – Accounting for SNM Document Crosswalk

Individual Elements of a COOP Plan	Procedure which meets the requirement
Delegation of Authority	• SAFE-COOP-001, R • SECON Plan, ADSS-LAN-001, R1, May 2010
Orders of Succession	• SAFE-COOP-001, R • SECON Plan, ADSS-LAN-001, R1, May 2010
Identify COOP Emergency Response Group (CERG)	• SAFE-COOP-001, R1.6 • SECON Plan, ADSS-PLAN-001, R1, May 2010
Alternate Operating Facilities	SAFE-COOP-001, R1.6
Interoperable Communications	SAFE-COOP-001, R1.6
Vital Records	SAFE-COOP-001, R1.6 http://int.lanl.gov/orgs/sg/sg_4/index.shtml
Human Capital	• Area Representative • Site Safeguards & Security Representatives • NM Custodian list
Epidemic/Pandemic Continuity Event-planning	LANL Pandemic Response Plan, EPP-COOP-0001
Training, Testing and Exercises	• SAFE-COOP-001, R1.6 • SECON Plan, ADSS-PLAN-001, R1, May 2010 • NMAS Training (ADSS website) http://int.lanl.gov/orgs/sg/sg_4/index.shtml
Reconstitution	N/A
Readiness Assurance/Self Assessments	• Internal Reviews and Assessments (IRAs) • Inventory Difference Evaluation Program (IDs) • Inventory Verification Program http://int.lanl.gov/orgs/sg/sg_4/index.shtml

PMEF #2 ~ RADIOLOGICAL ASSET TEAMS (NATIONAL SECURITY ACTIVITIES)

LANL Asset Teams have the ability to provide rapid response activities in support of the nation, including the intelligence community, Homeland Security, and the national emergency response organizations both nationally and internationally.

Capabilities include:

- deter the proliferation of weapons-usable nuclear and other materials
- provide technical support to the export control and intelligence communities
- analyze critical technologies related to nuclear and other weapons of mass destruction (WMD)
- provide quantitative assessments of foreign nuclear weapons
- provide quantitative assessments of other WMD capabilities
- provide support to the US government in the areas of threat assessment
- specialized training services and devices for emergency responders
- serve as lead Home Team for national nuclear emergency response
- providing subject-matter experts for quick turnaround analytical support
- support field situations with evaluations, render safe tools, strategies, consequence management and much more

LANL National Response Asset Teams List:

- Accident Response Group (ARG)
- Consequence Management (CM)
- Radiological Assistance Program (ARP)
- National Technical Nuclear Forensics-Disposition (NTNF)
- National Technical Nuclear Forensics-Post Detonation (NTNFD)
- Nuclear Weapon Stockpile Support (NWSS)
- Joint Technical Operations Team (JTOT)
- Biological Emergency Support Team (BEST)

Table B-3: Procedure Crosswalk

Individual Elements of a COOP Plan	Procedure which meets the requirement
Delegation of Authority	National Watch Bill, maintained by NA-40 ~ daily
Orders of Succession	National Watch Bill, maintained by NA-40 ~ daily
Identify COOP Emergency Response Group (CERG)	• National Watch Bill, maintained by NA-40 ~ daily • Emergency Response Deployment Authorization Procedures ▪ Each team has one

Individual Elements of a COOP Plan	Procedure which meets the requirement
Alternate Operating Facilities	DOE-Albuquerque watch office/duty officer will determine Alternate Facilities per contingency event. Sandia is a pre-determined deployment for response members and can be used for team members if we needed to close LANL. Local alternate facilities at LANL~ • ARG home team is TA-69 o Could use JTOT SKIF w/escorts • TA-59-1 and TA-35 LANL is investigating providing redundant capabilities for these facilitiesARG Los Alamos National Laboratory, Accident Response Group Activation and Deployment Procedures, NN-ER:09-014, August 28, 2009

Interoperable Communications	Current LANL phone and Taclanes
	• Redundancy built in locally via back up power/back up batteries
	• No redundant ability if loss of classified communications with the field.
	• No redundant back up telephony carrier (i.e. Verizon is backed up by Qwest)
	• Expensive to set up ~
	   o Satellite
	   o Verizon cell / land line back up via mobile command vehicles from Dallas
	• Will review OCIO – IT support via NAPS (POC Dale Leschnitzer)

Vital Records	Current vital records revolve around net works • Access to systems • Red net • SEAS • Yellow network Standalone ~ skill sets • Backup set in ABQ and • Basement of NISC
Human Capital	Watch Bill ~ maintains database of all personnel and all contact numbers for response and home team members (RSL) • POC Coordinator • NA-42 Watch Officer • Communicator • Recorded Pages
Epidemic/Pandemic Continuity Event-planning	LANL Pandemic Response Plan, EPP-COOP-001,r3 NA-40 Pandemic Plan

Individual Elements of a COOP Plan	Procedure which meets the requirement
Training, Testing and Exercises	ABQ. Maintains TT&E program and records for both response and home team members participation and qualification standards. LANL Global Security provides AAR to ABQ. LANL COOP Program will test notifications to COOP Program POCs; and include appropriate objectives in drills/ex which can be performed and documented.
Devolution of Control and Direction	ABQ is LANL's response team's devolution site.
Reconstitution	ABQ and NA-40 manage/delegate and redundancy in the Complex.
Readiness Assurance	LANL has an approved CRAR.

Appendix C: Authorities and References

Rather than list these in the LANL COOP Plan, please refer to the United States Department of Energy/National Nuclear Security Administration, Continuity of Operations Plan, DOE/NNSA Continuity Program Office, April 2010, OUO.

AUTHORITIES

- 36 CFR 1236, *Management of Vital Records*, revised May 16, 2001.

- DOE O 150.1, *Continuity Programs*, dated May 8, 2008.

- DOE O 151.1C, *Comprehensive Emergency Management System*, dated November 2, 2005.

- DOE O 243.2, Vital Records, dated February 2, 2006.

REFERENCES

- DOE O 151.1C, *Comprehensive Emergency Management System*, dated November 2, 2005.

- DOE O 243.2, *Vital Records*, which establishes Department-wide requirements, roles, and responsibilities for implementing and maintaining a Vital Records Program, as required by the Federal Records Act, dated February 2, 2006, as amended.

- DOE O 322.1B, Pay and Leave Administration and Hours of Duty, which establishes requirements and responsibilities for the management of pay, including overtime and compensatory time, leave administration, and hours of duty, dated January 14, 2005, as amended.

Appendix D: COOP Event Scenarios

Scenario Event Type	Category	Description
Event occurs away from LANL, no direct operational or personnel effected.	*Category 1:* **Event does not directly impact the worksite-** • facility(s) remain operational • no prohibition on employees remaining or enter the worksite for a short duration	The scenario contemplates those events that occur at another place, and that location does not have personnel or operational impact on LANL directly. However, there is some expertise that LANL is required to address during the event, and the event has been declared as a continuity event by the NNSA through the Site Office Manager. Events that fit the characteristics of this category might include: • biological attack in another city, • nuclear event, • major natural disaster, or • terrorist attack
DOE/HQ devolution to the NNSA Service Center in Albuquerque, NM. All National Laboratories on Alert	*Category 2:* **Event does not directly impact the worksite-** • facility(s) remain operational • no prohibition on employees remaining or enter for an extended period of time.	This scenario assumes that the entire National Capital Region (NCR) including the Germantown area, has been rendered inoperable/unavailable due to: • Direct and indirect effects of a Weapon of Mass Destruction (nuclear, chemical, biological); • Technological (e.g., electromagnetic pulse, massive computer attack, total loss of electrical grid, etc.); or • Natural event (e.g., hurricane, earthquake), wild land fire (with or without warning). DOE and NNSA HQ COOP Plans are activated The NNSA/SC assumes DOE EFs under devolution until a reconstituted DOE can assume such responsibilities. The NNSA/SC is mostly, physically unaffected by the event and remains fully functional. For this scenario it is assumed that Presidential authority will declare a National Security Emergency per Executive Order 12656 and other authorities. Executive Order 12656 defines a national security emergency as any occurrence, including natural disaster, military attack, technological emergency, or other emergency, that seriously degrades or seriously threatens the national security of the United States.

Scenario Event Type	Category	Description
LANL Facilities Directly affected, reductions in, or total loss of operational capabilities	*Category 3:* **Event directly impacts the worksite-** • facility(s) minimally or • non-operable • only designated employees are allowed access to the worksite for a short duration	LANL is accessible, but some facilities are unusable for normal activities due to a local, regional, or national event. The event has not affected surrounding buildings, utilities, or transportation systems at Los Alamos or White Rock. Example events include: • building fire; • system/mechanical failure; • loss of utilities such as electricity, telephone, water, or steam; • explosion (regardless of cause) that produces no significant damage to surrounding uninvolved buildings or utility systems, etc. The entire Laboratory is closed or unusable. In addition to example events noted above, possible additional events for this scenario might include: • widespread utility or systems failure, • catastrophic fire, • snow-ice blizzard, • massive explosion, or • credible threats of actions that would preclude access to or use of LANL.
LANL employees are directly affected, but the LANL site(s) are not operationally affected	*Category 4:* **Event directly impacts the worksite-** • **facility(s) minimally or** • **non-operable** • **only designated employees are allowed access to the worksite for an extended duration**	This scenario assumes that, due to disease epidemic or pandemic, significant personnel unavailability occurs; stringent restrictions on non-essential movement or contact of people may be enacted by civil and/or LASO-LANL authorities. The impact is at least regional in scope. The entire national complex may be affected. It is a stand-alone scenario in that the needs and actions necessary to meet this type of event will differ considerably in detail and execution: • There will likely be a relatively long lead-in warning period as the pandemic develops. • Duration of the event will stretch over many months. • A worst-case pandemic event will represent both a national health emergency and likely a national security emergency.

Appendix E: Acronyms/Abbreviations and Definitions

ACRONYMS & ABBREVIATIONS

Acronym/ Abbreviation	Definition
ADP	Automated Data Processing
AL/SC	Albuquerque Service Center
AOC	Alternate Operations Center
ALTERNATE FACILITY	Alternate Operating Facility
CAP	Corrective Action Plan
CEMC	Continuity Emergency Management Center
CEMF	Continuity Emergency Management Facility
CEMT	Continuity Emergency Management Team
CERG	Continuity Emergency Response Group
CFR	Code of Federal Regulations
CIO	Chief Information Officer
CIP	Critical Infrastructure Protection
COG	Continuity of Government
COGCON	Continuity of Government Condition
COOP	Continuity of Operations
CPOC	Continuity Point of Contact
CRD	Contract Requirements Document
CST	Continuity Support Team
D/A	Department and Agency
DHS	Department of Homeland Security
LANL	Los Alamos National Laboratory
EAP	Employee Assistance Program
ECG	Enduring Constitutional Government
ECN	Emergency Communications Network
EF	Essential Function
EMT	Headquarters Emergency Management Team
EOC	Emergency Operations Center
ERAP	Emergency Readiness Assurance Plan

Acronym/ Abbreviation	Definition
ESA	Essential Supporting Activities
ESF	Emergency Support Function
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
FORS	LANL Forrestal Building
GETS	Government Emergency Telecommunications Service
GSA	General Services Administration
GTN	Germantown Facility
HF	High Frequency
HSOC	Homeland Security Operations Center
HSPD	Homeland Security Presidential Directive
HSS	Health, Safety, and Security Office
HVAC	Heating, Ventilating, and Air Conditioning
IAC	Interagency Action Council
IP	Internet Protocol
IT	Information Technology
LANL	Los Alamos National Laboratory
LPSO	Lead Program Secretarial Officer
MEF	Mission Essential Functions
NCR	National Capital Region
NCS	National Communications System
NCSD	National Communications System Directive
NEF	National Essential Functions
NNSA	National Nuclear Security Administration
NOC	National Operations Center
NRP	National Response Plan
NSPD	National Security Presidential Directive
NSTS	National Secure Telephone System
OCIO	Office of Chef Information Officer
OEP	Occupant Emergency Plan
OMB	Office of Management and Budget

Acronym/ Abbreviation	Definition
P.L.	Public Law
PMEF	Primary Mission Essential Functions
PSO	Program Secretarial Officer
RTO	Recovery Time Objective
SCIF	Sensitive Compartmented Information Facility
SECON	Security Condition
SF	Standard Form
SLRT	Senior Leadership Response Team
TDY	Temporary Duty
TECC	Transportation Emergency Control Center
TECC	Transportation and Emergency Control Center, Albuquerque
TT&E	Testing, Training, and Exercises
U.S.C.	United States Code
UCNI	Unclassified Controlled Nuclear Information
VRP	Vital Records Program
WHMO	White House Military Office
WMD	Weapons of Mass Destruction
WO	DOE Watch Office
WPS	Wireless Priority Service

DEFINITIONS

Term	Definition
Agencies	Federal executive branch departments and independent organizations
Agency Head	The highest-ranking official of the primary occupant agency or a successor or designee selected by the official.
All-hazards Risk Assessment	A risk assessment performed on sites/facilities that are being considered as alternate operating facilities. The assessment analyzes the risks and vulnerability of the building to both natural and manmade disasters that could disrupt operations. Assessments performed for other program requirements (safety and security) can be utilized.
Alternate Facility	A location other than the primary facility used to carry out MEFs, PMEFs, or ESAs in a continuity situation. Also referred to as Continuity Facility.

Term	Definition
Automated Data Processing (ADP) Equipment	Equipment that performs data processing largely by automatic means.
Business Recovery Plan	Also known as a Business Continuity Plan. Used to prepare an organization for future incidents that could jeopardize the organization's core mission and its long-term health, e.g., building fires, earthquakes, or pandemic illnesses.
Catastrophic Emergency	Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or Government functions.
Continuity Capability	The ability of an organization to continue performance of Essential Function utilizing Continuity of Operations and Continuity of Government programs and integrated day-to-day operations with a primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of NEFs under all conditions.
Continuity Coordinators	Laboratory representative at the Assistant Secretary or equivalent level appointed by the Deputy Secretary of Energy to represent the Department.
Continuity Emergency Management Center (CEMC)	Location used by the CEMT to perform functions during a Continuity event.
Continuity Emergency Management Team (CEMT)	Component of the Continuity Emergency Response Group (CEMT-CERG) responsible for coordination of information and actions in a continuity event; the primary information hub and source for situational updates to LANL decision makers.
Continuity Emergency Response Group (CEMT-CERG)	Individuals that provide leadership, coordinate emergency response activities, perform MEFs and ESAs, and provide logistics and other support. The CEMT-CERG is divided into several teams.
Continuity Emergency Response Group (CEMT-CERG) Member	A person assigned responsibility to report to an alternate site to perform MEFs, PMEFs, ESAs or other continuity related operations.
Continuity Event	An emergency caused by natural disasters, accidents, military or terrorist attacks, technological emergencies, and pandemic/epidemic threats, which causes the Department to relocate operations to an alternative site to ensure continuing operation of EFs.
Continuity of Government (COG)	A coordinated effort within each branch of government (e.g., the federal government's executive branch) to ensure that NEFs continue to be performed during a catastrophic emergency.

Term	Definition
Continuity of Operations (COOP)	An effort within individual organizations (e.g., federal executive branch departments and agencies) to ensure that MEFs continue to be performed during continuity events, including localized acts of nature, accidents, and technological or attack-related emergencies.
Continuity Programs	A general term that includes all aspects of Enduring Constitutional Government (ECG), Continuity of Government (COG), and Continuity of Operations (COOP).
Continuity Program Manager	Under the direction of agency head, manages the day-to-day continuity programs and represents their department or agency on the continuity community and working groups as appropriate. Reports to the Department Continuity Coordinator.
Continuity Readiness Assurance Program	A program developed and implemented by each LANL office to ensure that MEFs, PMEFs, and ESAs can be performed during a continuity event.
Continuity Readiness Assurance Report (CRAR)	Documents the readiness of the office's continuity program based on planning and preparedness activities and the results of the assessment, including evaluations and improvements
Continuity Support Team (CST)	A component of the CEMT-CERG staffed by the program office and staff office personnel who actually perform MEFs, PMEFs, and ESAs.
COOP Activation	The point at which the CEMT-CERG is fully operational and accepts the transfer of EFs from the primary operating facility.
COOP Coordinator	Program office, staff office, or field element representative who represents and is the point-of-contact for their office or field element regarding COOP.
COOP Implementation Plan	A type of COOP plan that each LANL Program and Staff Office develops to implement their COOP office program. COOP Implementation Plans work in concert with the LANL COOP Plan. The Implementation Plan provides the planning and direction to the specific office of what needs to be done in a continuity event.
COOP Plan	Also known as the Continuity of Operations Plan, is a LANL-wide plan that documents and describes the LANL Continuity Program, provides implementation processes and procedures for LANL Headquarters (LANL) in a continuity event and provides guidance to LANL Field Element on the development and implementation of their own COOP Programs.
COOP Plan Activation	The process of implementing a COOP Plan when a notification occurs of a change in the COOP COGCON Level to COOP COGCON 2 or 1. Usually involves the movement of the CEMT-CERG to alternate operating facilities.
Corrective Action Program (CAP)	A system of identifying and tracking corrective actions for findings from continuity tests, training, exercises, assessments, and operations. The program will assist in the documentation, prioritizing, and acquiring resources to improve the Continuity Program.

Term	Definition
Critical Infrastructure Protection (CIP)	Risk management actions intended to prevent a threat from attempting to or succeeding at destroying or incapacitating critical infrastructures. Critical infrastructures are those systems and assets so vital to the nation that their incapacity or destruction would have a debilitating impact on national security, national economic security, or National public health or safety.
Delegation of Authority	Identification, by position, of the personnel with authority for making policy determinations and decisions at LANL, field levels, and all other organizational locations when primary personnel are unavailable. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed.
Devolution	The capability to transfer statutory authority and responsibility for EFs from an Agency's primary operating staff and facilities to other employees and facilities and to sustain that operational capability for an extended period.
Disaster	Any unexpected event which has adverse and/or serious destructive consequences.
Disaster Recovery Plan	Disaster recovery is the process of regaining access to the data, hardware, and software necessary to resume critical business operations after a natural or human-induced disaster.
Drive-Away Kit	A collection of materials prepared for an individual who expects to deploy to an alternate location during a continuity event. It contains items needed to minimally satisfy personal and professional needs during deployment.
Emergency	Any situation or an event of a serious nature that develops suddenly and unexpectedly, and which demands an immediate action.
Emergency Operating Records	Vital records essential to the continued functioning or reconstitution of an organization during and after a continuity event. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations (MEFs/PMEFs), and related policy or procedural records that assist Agency staff in conducting operations under emergency conditions and for resuming normal operations after a continuity event.
Emergency Readiness Assurance Plan (ERAP)	An annual report that each field element submits summarizing its emergency management program. It identifies the goals and accomplishments of the past fiscal year and the goals for the current fiscal year.
Enduring Constitutional Government (ECG)	A cooperative effort among the executive, legislative, and judicial branches of the Federal Government, coordinated by the President, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which the Nation is governed and the capability of all three branches of Government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of the NEFs during a catastrophic emergency.

Term	Definition
Epidemic	A pronounced clustering of contagious disease cases within a short period of time; more generally, a contagious disease whose frequency of occurrence is in excess of the expected frequency in a population during a given time interval.
Essential Functions	Critical activities performed by organizations after a disruption of normal activities. The categories are NEFs, MEFs, and PMEFs. The EFs of particular LANL offices are those functions/activities that accomplish or support the Laboratory's MEFs, PMEFs, and ESAs.
Essential Resources	Those that support the Federal Government's ability to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base during a continuity event.
Essential Supporting Activities (ESAs)	Those activities performed by an Agency or department so that the Laboratory's MEFs, PMEFs, or a NEF can be accomplished.
Executive Agent	A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administration and support or coordinating common functions or it may be delegated authority, direction, and control over specified resources for specified purposes.
Exercises	Organized activity designed to test the ability to execute business continuity plans and evaluate individual or organizational performance against approved standards or objectives. Exercises can be announced or unannounced and are performed for the purpose of training and conditioning team members and validating continuity plans. Exercise results identify plan gaps and limitations and are used to improve and revise the continuity plans. Types include table top exercises, simulations, operational exercises, mock disasters, desktop exercises, and full rehearsals.
Facility	Several structures or component units with a common or related purpose may constitute a single facility. A complex of dissimilar buildings, processes, and equipment may also be considered as a single facility if they are physically adjacent, under common management, and contribute to a common programmatic mission.
Field Element	Operations offices, service centers, site offices, area offices, regional offices of federally staffed laboratories, and Power Marketing Administrations.
Flexiplace	When an employee carries out work duties at his/her residence or other location rather than the official duty station.
Government Emergency Telecommunication Service (GETS)	A telecommunication service that provides continuity responders a high probability of completion of their land line telephone calls in a continuity event.
Go-Kit	A collection of supplies prepared by, and for, an individual who expects to deploy to an ALTERNATE FACILITY during an emergency. It includes the minimum items needed to satisfy basic personal and professional requirements during deployment. This term also applies to family preparedness (www.ready.gov).

Term	Definition
Government Functions	The collective functions of the heads of executive departments and agencies as defined by the Constitution, statue, regulation, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.
Interagency Agreement	A written agreement entered into between agencies that require specific goods, services to be furnished, or tasks to be accomplished by one agency in support of the other.
Interoperability	The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.
Interoperable Communications	Alternate communications capabilities that perform EFs in conjunction with other agencies until normal operations can be resumed.
Legal and Financial Records	Vital rerecords essential to protect legal and financial rights of the Government and individuals directly affected by its activities, also known as rights and interests records. Samples include accounts receivable records, social security records, payroll records, retirement records, and insurance records.
Mission Critical Data	Information essential to supporting the execution of an Agency or Laboratory's MEFs and PMEFs.
Mission Critical Systems	Equipment essential to supporting the execution of an Agency or Laboratory's MEFs and PMEFs.
Mission Essential Functions (MEFs)	The limited set of Department and Agency-level Government functions that must be continued after a disruption of normal activities. MEFs provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial/economic base during disruption of normal operations.
Multi-year Strategy and Program Management Plan	A Laboratory plan that describes a process that ensures the maintenance and continued viability of the COOP program.
National Essential Functions (NEFs)	A set of Government functions that are necessary to lead and sustain the country during a catastrophic emergency and must be supported through COOP and COG capabilities.
Occupant Emergency Plan (OEP)	Procedures developed to protect life and property in a specific federally-occupied space under stipulated emergency conditions.
Orders of Succession	Provisions for the assigning of senior Agency officials' responsibilities during an emergency in the event that any of those officials are unavailable to execute their legal duties.
Pandemic	A worldwide epidemic when a new or novel strain of influenza disease emerges in which humans have little or no immunity, and develops the ability to infect and be passed between humans.

Term	Definition
Primary Facility	The site of normal, day-to-day operations; the location where an employee usually goes to work.
Primary Mission Essential Functions (PMEFs)	Those Government functions that must be performed to support or implement the performance of NEFs before, during, and in the aftermath of a continuity event.
Reconstitution	The process by which surviving and/or replacement Agency personnel resume normal operations from the original or replacement primary operating facility.
Relocation	The process of moving personnel, records, equipment, and performance of Essential Functions and ESAs to an ALTERNATE FACILITY during a Continuity event.
Risk Analysis	Identification and assessment of hazards effects and countermeasures.
Site	The area over which LANL has access control authority.
Telecommuting Locations	Those locations with computers and telephones that enable employees to work at locations other than their main offices.
Telework	When an employee carries out work duties at his/her residence or other location rather than the official duty station.
Test	A pass/fail evaluation of infrastructure (e.g., computers, cabling, devices, hardware and physical plant infrastructure (e.g., building systems, generators, utilities)) to demonstrate the anticipated operation of the components and system. Tests are often performed as part of normal operations and maintenance. Tests are often included within exercises (see Exercise).
Training, Testing, and Exercises (TT&E)	Measures to ensure that a Department/Agency's COOP program is capable of supporting the continued execution of its MEFs, PMEFs, and ESAs throughout the duration of a COOP situation.
Virtual Offices	A location or environment where an employee performs work with portable information technology and communication packages.
Vital Databases	Information systems needed to support MEFs, PMEFs, and ESAs during a COOP situation.
Vital Records	The emergency operating records and legal and financial rights records required to accomplish MEFs, PMEFs, and ESAs during and after a continuity event, or as part of the recovery from a disaster.
Watch Office	The DOE Watch Office is the Laboratory's focal point for all external communications between the Department and outside agencies.
Weapons of Mass Destruction (WMDs)	Weapons that are capable of a high order of destruction and/or of being used in such a manner as to destroy large numbers of people. WMDs can be high explosives or nuclear, biological, chemical, and radiological weapons.

9.0   ATTACHMENTS

Attachment 1: Template for Orders of Succession or Delegation of Authority

Attachment 2: Template for Designation Requirements

Attachment 3: Designation Letter/Memorandum for Essential Personnel

Attachment 4: LASO COOP Plan (Latest revision to be inserted at point of use)

Attachment 1: Template for Orders of Succession or Delegation of Authority

Orders of Succession or Delegation of Authority
For {office name}

Associate Director for

POSITION (Title)	Name	Phone	Pager	Other contact information

Division for

POSITION (Title)	Name	Phone	Pager	Other contact information

Office of

POSITION (Title)	Name	Phone	Pager	Other contact information

Group

POSITION (Title)	Name	Phone	Pager	Other contact information

Attachment 2: Template for Designation Requirements

Los Alamos
NATIONAL LABORATORY
—— EST. 1943 ——

Center, Project, or Division Name
Organization
Addresses, Mail Stop
Los Alamos, New Mexico 87545   *Date:*   Month 00, 0000
505-667-XXXX/Fax 505-665-XXXX   *Refer To.*   XXXXXXXXXXXXX

Continuity Employee Designation Requirements for -

(*Employee Name*)

Emergency or Mission Critical Duties:

Duties will include, but may not be limited to, assignments in support of PMEF/MEF/ESA Functions in LANL COOP Plan (EPP-COOP-006)

Conditions or Situations for Duty:

LANL facility closures, emergencies, continuity or other unusual situations that disrupt normal business operations and/or COOP implementation. This does not apply to routine (short-term) facility closures due to inclement weather, power outage, or other non-emergency event.

An Equal Opportunity Employer / Operated by Los Alamos National Security, LLC for the U.S. Department of Energy's NNSA

Continuity "Essential Personnel" Employee Flexiplace Agreement

Introduction

This agreement between the Los Alamos National Laboratory (LANL) and you specifies the terms and conditions under which you will work at the primary site or an alternate worksite in order to support continued operations of the Laboratory and for the nation when an unusual or emergency situation has been declared.

Duration

This agreement will be in effect indefinitely as long as you occupy the position for which you have been designated as an "essential (emergency) employee."

Assignment

During an emergency, as directed by your management, you will perform those aspects of your normal duties, or other duties as assigned, that are required to continue or to support performance of Laboratory Essential Functions.

Alternate Workplaces

Your alternate worksites include your home, your primary work site, another LANL facility, or another location as directed by your management.

Work Schedule

Your work schedule will be determined by your management at the time you are activated.

Resources

You are expected to use either your own personal equipment or equipment provided to you by the Laboratory. You *are not* authorized to incur any costs associated with connecting to the laboratory in order to communicate with you office and/or accomplish your assignment(s).

Your Responsibilities

You will perform the applicable work assignment(s) of your position identified as essential and any other assignment(s) that you are directed to perform during the emergency or continuity event. You will ensure that you have the appropriate resources available to perform the assignment(s) at your home at any time, providing you can connect to the internet.

You must be accessible by phone and email, providing that such services are available. You are to contact your management as soon as possible when either service is available. You will safeguard LANL equipment and records and use such equipment and record for official business. You will also safeguard, service, and maintain the equipment used to perform your work at the alternate workplaces. You are bound by the Standards of Conduct for Employees of LANL and DOE/NNSA supplement thereto while working at home or at a telecommuting telecenter, and the applicable policy and guidance pertaining to Flexiplace/telecommuting arrangements.

Attachment 3: Designation Letter/Memorandum for Essential Personnel

Los Alamos
NATIONAL LABORATORY
EST 1943

To/MS:
From/MS:
Phone/Fax:
Symbol:
Date:

memorandum

Mission Critical Emergency-Essential Employee Designation Letter

The purpose of this memorandum is to inform you that you have been designated as a "Mission-Critical Emergency-Essential Employee" for the Los Alamos National Laboratory. As a "Mission-Critical Emergency-Essential Employee" you may be required to report to work and perform critical or essential duties during facility closures, emergencies, continuity or other unusual situations. Under certain conditions, you may also be directed to report to your primary work place or an alternate facility or location to perform your duties.

The attachment to this memorandum identifies the conditions and situations during which you may be required to work and the duties that you may be required to perform. Further, during some emergency situations, you may be asked to perform additional duties to ensure the health and safety of personnel and the continued performance of the Laboratory's Essential Functions. Please note that in the event of an emergency situation, regardless of weather conditions or any public announcement of dismissal or suspension of activities, you may be required or directed to report for duty at your normal duty station or an alternate location identified by your supervisor.

Notification of the requirement for you to report and perform your duties as assigned may be made in advance by oral or written direction from your management, by telephone, or through the media—for example, during Government-lab-wide closures. In the event that you are directed to work from home or an alternative worksite, you are expected to be prepared to perform your work by teleworking. Also attached is a contingent emergency Flexiplace/telecommuting agreement that you are to sign which confirms this information.

As a designated "Mission-Critical Emergency-Essential Employee," you are to provide contact information and ensure that it is accurate and up-to-date so you can be reached in any event. In the event that your personal safety is in jeopardy and you are unable to report, you should immediately contact your manager as soon as practicable so that alternatives can be arranged. Your failure to comply with direction to report for duty as required may result in your being placed in an absent without approved leave (A WOL) status and/or be subject to disciplinary action.

Attachments

Acknowledgement: _____   _____
                        Employee's Signature   Date

Signatures and Dates

----------------------.   ------------------
Employee   Date

------------------   ------------------
Employee   Date

------------------   --------------------.
Employee   Date

Privacy Act Statement
Section 6120 of Title 5 to the United States Code and Executive Memorandum of July 11, 1994 (59 FR 36017) authorizes collection of this information. Providing information and signing this agreement is required by the DOE Continuity of Operations Place. The primary use of the information contained in this agreement is by applicable management officials and supporting administrative staffs to maintain continuity operations. There are no additional uses that may be made of the information collected in this agreement.

Attachment 4: Los Alamos Site Office COOP Plan

The latest revision to the LASO COOP Plan is to be inserted as Attachment 4 at the point of use and is not required to be part of this procedure for the purpose of change control.