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OFFICE OF THE SECRETARY
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SECNAVINST 3030.4D
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SECNAV INSTRUCTION 3030.4D

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY POLICY FOR CONTINUITY OF
OPERATIONS PROGRAMS

Ref: (a) 10 U.S.C.
(b) DoD Instruction 3020.42 of 17 February 2006
(c) Defense Continuity Program (DCP) Security
Classification Guide of 15 Dec 05 (NOTAL)
(d) SECNAVINST 3501.1C
(e) Federal Continuity Directive 1, October 2012
(f) DON CIP Consequence Management Planning Guide of 6
Oct 04 (NOTAL)
(g) DoD Directive 3020.26 of 9 January 2009
(h) Designation of Component Continuity Coordinator, 08
January 2015

Encl: (1) Department of the Navy Mission Essential Functions
(2) Definitions
(3) Continuity of Operations Program Minimum Requirements
(4) Responsibilities

1. Purpose

a. This instruction establishes policy, assigns responsibilities, and specifies requirements for implementing Continuity of Operations (COOP) Programs within the Department of the Navy (DON) per guidance contained in references (a) through (h).

b. This instruction specifies the DON Mission Essential Functions (MEF) (see enclosure (1)) and updates the roles and responsibilities within the DON Headquarters. This is a complete revision and should be reviewed in its entirety.

2. Cancellation. SECNAVINST 3030.4C

3. Definitions. See enclosure (2).

4. Applicability. This instruction applies to the Office of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), all U.S. Navy and U.S. Marine Corps installations, commands, activities, field offices, and all other organizational entities within the DON.

5. Policy

a. Natural and man-made events can occur without warning causing disruptions to normal operations. The purpose of the DON COOP program is to ensure the ability of each organization within the DON to continue execution of its MEF.

b. Every command and organization within the DON shall implement a COOP program unless their COOP planning is included by the next higher authority in their chain of command. COOP programs require the identification of MEFs and the development of COOP plans and procedures to provide continuity of MEFs under all circumstances across the spectrum of threats, disasters, or incidents. Requirements for COOP programs and planning for DON components are in enclosure (3).

c. COOP plans shall be responsive and executable with or without warning. Plans must also be flexible enough to enable contingency response from designated and contingency sites. Phased changes to site locations may also be required as a broad range of contingencies are addressed.

d. COOP plans shall ensure the performance of MEFs during any emergency for up to 30 days or until normal operations can be resumed. The capability to perform MEFs at alternate sites must be fully operational as soon as possible, but no later than 12 hours after COOP activation.

e. Risk management shall be used to determine the allocation of limited resources to meet continuity objectives and support the ability to perform MEFs.

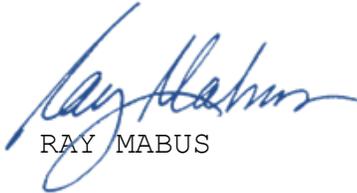
f. COOP plans shall make use of information technology solutions to provide information to leaders and other users, facilitate decision making, and enable the issuance of orders and direction. Technology, information systems, and networks must be interoperable, robust, reliable, and resilient.

g. The continuity program in DON organizations shall be under the management of a senior official in the organization who is accountable to the Commander, Commanding Officer, or Officer in Charge.

h. Each DON organization shall ensure all personnel are trained on the COOP plan at least annually. The COOP plan shall be exercised on an annual basis.

6. Responsibilities. See enclosure (4).

7. Records Management. Records created by this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.



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DEPARTMENT OF THE NAVY MISSION ESSENTIAL FUNCTIONS

1. Discussion

a. The DON executes its MEFs to meet requirements per reference (a) in support of the Secretary of Defense (SECDEF), the Chairman of the Joint Chiefs of Staff (CJCS), SECNAV, CMC, and CNO. DON MEFs also support national essential functions and Department of Defense (DoD) primary MEFs as delineated in National Security Presidential Directive 51, Homeland Security Presidential Directive 20, and DoD directives.

b. COOP planning includes preparatory measures, response actions, and restoration activities planned or taken to ensure continuation of MEFs to maintain military effectiveness, readiness, and survivability. COOP planning is "good business practice," a part of the fundamental mission of Navy and Marine Corps organizations and, as such, it should be incorporated into daily operations and activities.

2. DON MEFs. The DON has functions that must be continued throughout, or resumed immediately after, a disruption of normal activities. In the implementation of this policy, every command and organization within the DON shall ensure their COOP plan supports these DON MEFs:

a. Provide advice, as appropriate, to the President, Congress, National Security Council, Homeland Security Council, SECDEF, and CJCS.

b. Provide and employ Naval forces capable of protecting and defending the homeland and national interests.

c. Maintain worldwide situational awareness of Naval forces, including their activities, capabilities, capacity, and readiness.

d. Support international coordination and cooperation programs.

e. Support domestic emergency response programs.

DEFINITIONS

1. Continuity of Operations (COOP). The effort of DON organizations to ensure uninterrupted MEFs across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack related emergencies.
2. Drive-Away Kit. A kit prepared by, and for, an individual who expects to deploy to an alternate site during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment, such as clothing, medications, a laptop, and other necessities.
3. Essential Records. Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are 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 that organization's activities. The term "vital records" refers to a specific sub-set of essential records relating to birth, death, and marriage documents.
4. Mission Essential Functions (MEFs). The specified or implied tasks required to be performed by, or derived from, statute, executive order, or other appropriate guidance, and those organizational activities that must be performed under all circumstances to achieve DON missions or responsibilities in a continuity threat or event. Failure to perform or sustain these functions would significantly affect the DON's ability to provide vital services or exercise authority, direction, and control.
5. Risk Management. The process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken. Effective risk management practices and procedures shall assist organizations in accomplishing continuity objectives.

CONTINUITY OF OPERATIONS PROGRAM MINIMUM REQUIREMENTS

1. COOP Program Elements and Requirements. COOP programs and plans within the DON shall, as a minimum, include the following elements:

a. Program Management. Leadership, staff, communications, technology, and facilities.

(1) Address COOP actions in four phases: readiness and preparedness, activation, continuity operations, and reconstitution.

(2) Recognize, endeavor to assist, and take advantage of parallel COOP processes that occur in other Federal components and civil government.

(3) Ensure assigned units develop a COOP plan to ensure their continuity and support the Immediate Superior in Charge (ISIC) or parent command's COOP requirements.

(4) Ensure units assigned to support a Unified Combatant Command properly support that command's COOP plans.

(5) Ensure COOP plans are structured to be able to perform MEFs in an all-hazard environment.

(6) Establish a system of metrics to evaluate continuity requirements and certify program readiness.

(7) Conduct annual program evaluation using the latest DoD provided assessment tool.

b. Risk Management. Apply a risk-based framework across all continuity efforts to identify and assess potential hazards, determine what levels of risk are acceptable, and prioritize the allocation of resources.

c. Budgeting and Acquisition of Resources

(1) Document and report all costs required to acquire, operate, and maintain COOP-related capabilities and facilities for the four COOP phases to the appropriate higher-level COOP Office of Primary Responsibility (OPR).

(2) Develop procedures for expending funds, executing contingency contracts, and emergency procurement during COOP events.

(3) Include COOP funding in the organization's annual budget submission. Identify and justify estimates through prescribed budget exhibits and appropriate informational elements.

d. Essential Functions. Identify and prioritize MEFs and provide supporting justification, e.g., constitutional, legislative, presidential, etc. Determine and prioritize those MEFs that must be continued without interruption.

e. Orders of Succession. Establish and maintain orders of succession (at least three positions deep) to key positions, and provide guidance and procedures to ensure the smooth transition of succession. Planning provisions should assure the appropriate level of training and equipping for key personnel identified in the order of succession.

f. Delegations of Authority. Identify and document appropriate delegations of authority required to ensure the continued, uninterrupted performance of MEFs during and after a COOP event. Documentation shall specify the conditions and limitations of delegation of authorities.

g. Continuity Facilities. Designate primary and alternate emergency relocation and reconstitution sites per reference (b); dual-use facilities are preferred. A second site, to be used as a devolution site, at a geographically separated facility with a separate Emergency Response Group (ERG) is also recommended. Ensure:

(1) Sites are reachable and available during the full spectrum of hazards and emergencies.

(2) Sites have sufficient capability and supporting infrastructure, and can be fully operational within 12 hours of notification to activate the alternate site and commence MEF performance.

(3) Site considerations include distance from the threat area, vulnerability of relocation routes, and the provisions of the United Facilities Criteria 4-010-01.

(4) Transportation guidance and information is provided for individuals deploying to alternate locations.

(5) Sustenance provisions, i.e., food and water, necessary to maintain the ERG for MEFs execution for up to 30 days are identified and available.

h. Continuity Communications. Communications, information assurance, information management, disaster recovery, and necessary infrastructure logistics support.

(1) Provide for robust, redundant, and recoverable communications capabilities to support connectivity to higher commands (including their activities), their successors and subordinate commands and elements. Ensure communications capability with local government and civil authorities.

(2) Identify sufficient space, infrastructure, power, life support, and network connectivity (secure and non-secure) to accommodate component continuity staff personnel, and equipment required to continue component MEFs.

(3) Address the reliability of the existing level of service agreements and commitments from commercial vendors. Modify statements of work, as necessary, to ensure availability of contractor support personnel at alternate locations on a 24-hour/7-day basis.

(4) Identify critical support for IT, power supplies, and telecommunications.

(5) Include telework in COOP planning to aid in the completion of organizational MEFs.

i. Essential Records Management. Essential records refer to information systems technology, applications, infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions during continuity activation. They also include those records essential to protect the legal and financial rights of

the Government and of the individuals directly affected by its activities. Appendix H of reference (c) sets forth the objectives and guidelines of the DON Essential Records Program. This program is the means by which records needed to support COOP plans and procedures are identified, stored, and made accessible in a COOP situation. Planning should address procedures for routine backup and duplication of essential records. Essential records can be pre-staged at alternate facilities or maintained on networks with replicated storage sites. The program should be reviewed at least annually to determine its effectiveness and to ensure it is taking advantage of technological advances.

j. Human Resources and Personnel Accountability. An emergency response plan must ensure all employees (deploying and non-deploying) understand their role(s) during an emergency to include evacuation and shelter-in-place plans. In supporting the human capital needs of the continuity program, the continuity plan should account for all of the organization's human capital resources.

(1) Develop and implement a process to identify, document, communicate with, and train continuity and non-continuity personnel on their responsibilities.

(2) Provide guidance to continuity personnel on individual preparedness measures to ensure rapid response to any local or national emergency.

(3) Implement a process to communicate the building's and organization's operating status to all of the organization's personnel.

(4) Implement a process to account for all staff in an emergency event.

(5) Identify a human resource staff member to work with the organization's Continuity Planning Officer (CPO) to aid in the development of continuity plans.

(6) Implement a process to communicate guidance on pay, leave, staff, and other human resource issues to managers and personnel to help continue essential functions during any local or national emergency.

k. Test, Training, and Exercise (TT&E) Program. DON organizations must plan, conduct, and document periodic TT&E events to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of their continuity plans and programs.

(1) Develop, update, and maintain a COOP TT&E Plan. This may be integrated into an organization-wide TT&E plan, but COOP training and exercises must be clearly visible.

(2) Maintain COOP readiness of all individuals assigned ERG positions, and ensure their ability to perform MEFs in an all-hazard environment per reference (b) with a developed training and exercise program.

(3) Test alert, notification, deployment procedures, operations, and support capabilities at alternate facilities annually.

(4) Publish a Corrective Action Plan (CAP) following each exercise with issues entered into the organization's Lessons Learned (LL) database for resolution utilizing the organization's LL process and procedures. The LL shall be forwarded to the ISIC for improvement in other COOP plans. Incorporate LL from exercises and tests into the plan, as appropriate, and distribute both After Action Report and CAP to appropriate internal COOP personnel and command leadership to allow necessary modifications and/or updates to COOP plans.

(5) Ensure COOP training addresses roles and responsibilities for deploying and non-deploying employees; work options and relocation procedures for non-deploying personnel; available support for family members of DON employees; alert, notification, and evacuation procedures; emergency contacts; security considerations; and drive-away kit requirements.

(6) Conduct and document annual COOP training and alternate site orientation for all personnel assigned.

l. Devolution of Command and Control. Provide direction and guidance for units to establish devolution procedures, i.e., the transfer of MEFs in conjunction with related delegations of authority to execute such MEFs from the primary operating team to another organization, command, and/or facility for an

extended period of time until the primary team can re-establish command and control. Plans shall include the establishment of essential memorandums of agreement, training, and equipping to support devolution.

m. Reconstitution Operations. Designate a reconstitution manager who shall coordinate the development of post-event reconstitution procedures that allow for recovery from a catastrophic emergency and resumption of normal operations in coordination with facility and personnel management offices.

n. Continuity Plan Operational Phases and Implementation

(1) Continuity plans within the DON shall address the four operational phases of plan implementation.

(a) Readiness and Preparedness. This phase includes all organization continuity readiness and preparedness activities including the development, review, and revision of plans, TT&E, and risk management.

(b) Activation. This phase includes the activation of plans, procedures, checklists, and schedules for the continuation of essential functions at alternate or devolution sites as well as for the personnel, essential records and databases, and equipment involved with these functions. This may include activation of supporting plans such as information operations disaster recovery plans, information system contingency plans, and building occupant emergency plans.

(c) Continuity Operations. This phase includes the following activities to continue essential functions:

1. Accounting for all organization personnel.
2. Reporting on operational capabilities to Headquarters.
3. Performing essential functions.
4. Establishing communications with supporting and supported organizations, customers, and stakeholders.

5. Preparing for the reconstitution of the organization.

(d) Reconstitution. This phase includes the personnel and facility-related actions required to resume full normal operations at the normal facility, another temporary facility, or a new permanent facility with the required staff and resources.

(2) Plan Implementation

(a) Planning should consider the challenges posed by extended events (pandemic influenza) that occur in a repetitious manner and cannot be addressed by traditional COOP responses.

(b) Validate, update, and reissue plans every 2 years or more frequently as changes warrant and provide a copy to the ISIC.

(c) Ensure civilian employee position descriptions and contractor's statements of work identify requirements as ERG team members with COOP responsibilities.

(d) Ensure security provisions and procedures for personnel, physical, operational, and information security are addressed and integrated into COOP planning and execution.

(e) Apply security classification guidance to COOP plans and documents, per reference (d).

(f) Incorporate operations security into COOP execution and into exercise planning, implementation, and evaluation.

(g) Coordinate with the alternate facilities to ensure deploying personnel are cleared to enter the facility during the COOP event.

2. Each command shall have an office designated as the OPR for COOP, and appoint a CPO to serve as the point of contact for all COOP planning issues for the organization and subordinate elements, as well as higher echelons. OPR and CPO status information shall be updated annually (or more frequently if

changes occur) and provided to the ISIC to ensure dissemination of the latest directives and information.

3. Publish COOP guidance to ensure all levels of command effectively implement the COOP program and, if needed, develop their own instruction to supplement this instruction.

4. Establish methods to track the availability and/or readiness of all resources designated for use during all phases of COOP operations.

RESPONSIBILITIES

1. The Deputy Under Secretary of the Navy for Policy (DUSN (P)) is responsible for the oversight, management, readiness, and compliance of DON COOP programs under the guidance of the Under Secretary of the Navy (UNSECNAV). DUSN (P) is designated as the Senior Official in the DON for COOP programs per reference (h).
2. The CMC and CNO shall:
 - a. Ensure the development, testing, and funding of COOP programs to support the SECNAV and CJCS.
 - b. Ensure their headquarters COOP plans are coordinated with and support the SECNAV and CJCS.
 - c. Ensure commands and organizations under their cognizance have a COOP program.
 - d. In coordination with the DON Assistant for Administration (DON/AA), ensure adequate funding for COOP programs as a part of their annual program and budget processes and ensure annual COOP funding data is compiled in the annual DoD COOP budget review.
3. The Assistant Secretary of the Navy, Financial Management and Comptroller (ASN (FM&C)) shall coordinate with the Assistant Secretary of the Navy, Environment, Installations and Energy (ASN (EI&E)) and DON/AA during COOP responses to ensure adequate funding is available for alternate sites. Echelon II commands, if involved in a COOP response, shall have their comptrollers coordinate with ASN (FM&C) to ensure availability of required funding to support emergency alternatives.
4. ASN (EI&E) shall support the identification, development, and acquisition of alternate COOP sites when required. ASN (EI&E) shall coordinate with the DON/AA on measures specific to alternate sites for the Secretariat staffs.
5. The Assistant Secretary of the Navy, Manpower and Reserve Affairs shall ensure the position descriptions of civilian personnel assigned to COOP duties, and military billets with COOP responsibilities, reflect the additional requirements and duties.

6. The Office of the General Counsel, the Judge Advocate General of the Navy, and the Staff Judge Advocate to the CMC shall provide legal advice and guidance by their respective statutory and regulatory functions in the wake of a COOP triggering event.
7. The Deputy Under Secretary of the Navy, Management shall:
 - a. Develop, coordinate, and execute COOP plans for the SECNAV and UNSECNAV immediate staffs.
 - b. Ensure Secretariat offices develop organization-level COOP plans which support the SECNAV's plan.
8. The DON Chief Information Officer shall assist in the development of alternative communications and connectivity making full use of survivable and secure IT capabilities. Commands shall ensure their telework policies support the use of telework capabilities for COOP events.
9. The Naval Inspector General shall include a review of COOP plans, practices, and budgeting in command inspections.