



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 3030.4C
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SECNAV INSTRUCTION 3030.4C

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY CONTINUITY OF OPERATIONS PROGRAM

Ref: (a) Title 10, United States Code
(b) DoD Instruction 3020.42 of 17 Feb 06
(c) SECNAV M-5210.1
(d) Security Classification Guide, Department of Defense
Continuity of Operations of 15 Dec 05 (NOTAL)
(e) SECNAVINST 3501.1A
(f) SECNAV M-5214.1
(g) DON CIP Consequence Management Planning Guide of
6 Oct 04 (NOTAL)
(h) DoD Directive 3020.26 of 9 Jan 09

1. Purpose. To delineate Department of the Navy (DON) policy and responsibilities for implementing Continuity of Operations (COOP) per guidance contained in references (a) through (h). This is a complete revision and should be reviewed in its entirety.

2. Cancellation. SECNAVINST 3030.4B.

3. Applicability. This instruction applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), and the Commandant of the Marine Corps (CMC).

4. Discussion. The DON COOP Program provides the means to continue DON Mission Essential Functions (MEFs) during national security emergencies and events requiring all or part of the Department of the Navy to be relocated or reconstituted. The Department of the Navy executes its MEFs in support of the Secretary of Defense (SECDEF), Chairman of the Joint Chiefs of Staff (CJCS), SECNAV, CNO, and CMC. DON MEFs also support national essential functions and primary MEFs as delineated in National Security Presidential Directive 51/Homeland Security Presidential Directive 20 and Department of Defense (DoD) directives.

a. DON MEFs. COOP provides for the continuity of DON essential functions during conditions when normal operations have been impaired or made impossible. DON MEFs:

(1) Support the SECNAV.

(2) Support the CNO and CMC.

(3) Respond to tasking and provide information necessary to facilitate Navy operations worldwide.

(4) Support requirements established in the Office of the SECDEF and CJCS continuity directives and plans.

(5) Execute DON's responsibilities under reference (a).

(6) Provide command and control from all units to the SECNAV, CNO, and CMC, and back.

b. COOP is the capability of a DON component to continue its MEFs without unacceptable interruption during a national security emergency. National security emergencies consist of any occurrence, including, but not limited to, localized natural disasters, terrorist attacks, military attacks, technological failures, civil unrest, pandemic events or other disruptive conditions that seriously degrades or threatens the national security of the United States. COOP planning includes preparatory measures, response actions, and restoration activities planned or taken to ensure continuation of these functions to maintain military effectiveness, readiness, and survivability. COOP planning is "good business practice" - a part of the fundamental mission of the Navy and Marine Corps organizations and, as such, it should be incorporated into daily operations and activities.

5. Background. In prior years, COOP plans, operational standards, and interagency coordination were left to each organization's discretion. The changing threat environment, recent emergencies, and increased potential for terrorist use of weapons of mass destruction highlighted the need for COOP capabilities that enable DON organizations to continue their MEFs across a broad spectrum of emergencies. Recent Presidential Directives and subsequent Homeland Security Council implementation plans require all levels of executive branch

organizations to have in place a viable continuity capability to ensure continued performance of their essential functions under all conditions.

6. Policy. Effective direction of Navy and Marine Corps forces during crisis requires MEFs continue with minimum degradation or interruption. COOP programs, as a minimum, will include the following:

- a. Program Management
- b. Risk Management
- c. Budgeting and Acquisition of Resources
- d. Essential Functions
- e. Orders of Succession
- f. Delegations of Authority
- g. Continuity Facilities
- h. Continuity Communications
- i. Vital Records Management
- j. Human Capital and Accounting
- k. Test, Training and Exercise (TT&E) Program
- l. Devolution of Control and Direction
- m. Reconstitution Operations
- n. Plan Implementation

7. Action. To provide for the continuity of DON MEFs during national security emergencies, the following responsibilities and actions for COOP programs and plans shall be implemented.

a. SECNAV, CNO, and CMC shall:

(1) Establish a COOP program that addresses:

(a) Program Management: leadership, staff, communications, technology and facilities.

1. Address COOP actions in three basic phases: pre-event phase; trans-event phase; and post-event phase.

a. Pre-Event Phase. Only preparation for military operations will take priority over actions to decide, coordinate, alert, and implement readiness measures, to protect personnel, infrastructures and vital resources, through dispersal or relocation, for reasons of survival.

b. Trans-Event Phase. Giving priority to military operations, succession of key leadership and relocation of Emergency Relocation Staff (ERS) personnel are primary concerns during this phase. Actions include ERS deployment, site activation, reception, communications, devolution of command and control, execution of MEFs and, if necessary, staff reconstitution.

c. Post-Event Phase. During this phase, focus is on military operations, communications, transportation, and resource recovery. Actions include: sustaining functions that allow the ERS to conduct their MEFs; managing personnel transportation and augmentation; and coordinating site activities. Planning begins for return (recovery) of staff, and their functions, to a permanent location.

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

5. Ensure that 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 DON continuity efforts to identify and assess potential hazards, determine what levels of risk are acceptable, and prioritize and allocate resources among DON organizations.

(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 three 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 Department'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 can be deferred until time and resources permit restoration.

(e) Orders of Succession. Establish and maintain orders of succession (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 MEF during and after a COOP event. Documentation will specify the conditions and limitations of delegation of authorities.

(g) Continuity Facilities. Designate emergency Headquarters (HQ) relocation and reconstitution sites per reference (b), and ensure:

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

2. Sites have the 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 ERS for MEFs execution for 30, 60, and 90 days are identified and available at the alternate site.

(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 among SECDEF, CJCS, SECNAV, CMC, CNO, echelon II commands (including their activities), and their successors.

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 location on a 24-hour/7-day basis.

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

5. Develop and implement a telework policy and process for military and civilian personnel to aid in the completion of organizational MEFs.

(i) Vital Records Management. Appendix H of reference (c) sets forth the objectives and program guidelines of the DON Vital Records Program. The DON Vital Records Program is the means by which records needed to support COOP plans and procedures are identified, stored, and protected. Management of vital records is an integral part of the Department's COOP. Vital records include, but are not limited to, electronic and hardcopy documents, reference materials, information systems, and data management software and equipment needed to support essential functions. To the extent possible, plans should address procedures for routine backup and duplication of vital records and pre-staging at the alternate facilities. The vital records program should be reviewed at least annually to determine effectiveness of the program.

(j) Human Capital. All personnel must be able to carry out their response duties, including building evacuation. In addition to supporting the human capital needs of the continuity program, the continuity plan must manage all of the organization's human capital resources. All emergency response plans must ensure all employees (deploying and non-deploying) understand their role(s) during the emergency to include building evacuation and shelter-in-place plans.

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 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 contact and 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 national emergency.

7. Implement procedures to accommodate the need to account for all DON family members and provide for the collection of a needs assessment as a result of any national emergency.

(k) TT&E Program

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 ERS 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 (including emergency power and systems) at the alternate facility annually.

4. Publish an After-Action Report (AAR) or Corrective Action Plan (CAP) following each exercise with issues entered into the Service's Lessons Learned (LL) database for resolution utilizing the Service's LL process and procedures. Incorporate LL from exercises and tests into the plan, as

appropriate, and distribute both AAR and CAP to appropriate internal COOP personnel and command leadership to allow necessary modifications/updates to COOP plans.

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

6. Schedule an annual visit/orientation for all ERS personnel (and alternates) to the alternate site.

(l) Devolution of Control and Direction. Provide direction and guidance for units to establish devolution procedures, i.e., the transfer of statutory authority and responsibility for essential functions from the primary operating team to other teams/facilities for an extended period of time until the primary team can re-establish command and control. Plans will include the establishment of essential memorandums of agreement, training, and equipping to support devolution.

(m) Reconstitution Operations. Designate a reconstitution manager who will 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) Plan Implementation:

1. Anticipate destructive natural events, national security emergencies, or hostile acts that may interrupt operations at DON organizations, activities, or commands. Plans must be executable during duty and non-duty hours with little or no warning. In addition, plans must ensure that essential operations can be maintained for up to 30 days or until normal activities can be resumed. 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.

2. Review plans annually and update more frequently, if required.

a. Provide an electronic copy of the unit's current COOP plan to the Deputy Chief of Naval Operations (Operations, Plans, and Strategy) (DCNO (N3/N5)) or the ISIC annually, or sooner if updated.

b. Maintain a record of changes.

3. Ensure that civilian employee position descriptions and contractor's statements of work are annotated as 'emergency essential' for ERS team members with COOP responsibilities.

4. Ensure that security provisions and procedures - for personnel, physical, operational, and information security - are addressed and integrated into COOP planning and execution.

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

6. Incorporate operations security into exercise planning, implementation, and evaluation and COOP execution.

7. Coordinate with the alternate facility to ensure deploying personnel are cleared to enter the facility during the COOP event.

(2) Designate an organization as the OPR for COOP, and appoint a CPO to serve as the point of contact for all COOP planning issues between the units and their commands, as well as higher echelons. OPR and CPO status information will be updated annually (or more frequently if changes occur) and provided to DCNO (N3/N5) 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.

(5) Document and implement critical infrastructure protection requirements required to ensure the means to continue DON MEFs per reference (e).

b. The CNO and the CMC shall:

(1) Establish guidance for Navy and Marine Corps to use in developing viable, executable COOP plans, to facilitate interagency coordination, as appropriate, and to oversee and assess the status of COOP readiness across the DON echelon II and Marine Corps second tier Marine Forces command levels. At a minimum, COOP plans will provide for robust recoverable communications among SECNAV, CNO, CMC, and their successors.

(2) Coordinate with the SECNAV staff to ensure the DON COOP Program is funded and sustained and the alternate sites are fully functional and meet all defined requirements.

(3) Coordinate with SECNAV staff on all information technology and program funding decisions, which would affect the policy and execution of the DON COOP Program.

(4) Assist the Office of the SECNAV, Office of the Under Secretary of the Navy, and the Assistant Secretaries of the Navy (ASNs) in developing secretariat HQ COOP plans.

(5) Develop a Multi-year Continuity Strategy and Program Management Plan (MYSPMP) to support the continuity program management cycle. The MYSPMP should be a separate document but referenced in the COOP plan. The MYSPMP will provide for the development, maintenance, and annual review of continuity capabilities, requiring CNO and CMC to:

(a) Designate and review MEFs and their applicability to the DoD MEFs.

(b) Define both the short-term and long-term goals and objectives for plans and procedures.

(c) Identify issues, concerns, and potential obstacles to implementing the program, as well as a strategy for addressing these, as appropriate.

(d) Establish planning, training, and exercise activities, and milestones for accomplishing these activities.

(e) Identify the people, facility, communication systems, and other resources needed to support the program.

(f) Forecast and establish budgetary requirements to support the program.

(g) Apply risk management principles to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.

(h) Incorporate geographic dispersion into the organization's normal daily operations, as appropriate.

(i) Implement a telework policy for military and civilian personnel to aid in the completion of organizational MEFs.

(j) Integrate the organization's personnel, physical, and information security strategies to prevent disruption of continuity plans and operations.

(k) Develop and implement a CAP to draw upon TT&E and real world LL, events assessments, evaluations, and AARs.

(l) Conduct an annual program management review of the entire DON COOP Program and oversee CAP implementation.

c. The CNO shall:

(1) Establish and issue the SECNAV policy and guidance for DON COOP per references (a) through (h).

(2) Issue DON HQ COOP operations, exercise, information technology, program funding, and training guidance per references (a) through (h) required to support the DON HQ staffs.

(3) Issue and review all instructions associated with the DON HQ and Navy-wide COOP Program guidance to ensure it remains updated per references (a) through (h). All SECNAV and OPNAV COOP instructions will be reviewed annually and updated bi-annually, or sooner if required.

(4) Supervise the implementation and execution of the DON HQ COOP Program for the Navy and SECNAV staffs.

(5) Coordinate with the Office of SECDEF, other Military Services and Departments, Joint Staff, and SECNAV and OPNAV COOP planners and staff to ensure the DON HQ COOP Program is maintained and that alternate sites are functional and meet defined requirements.

(6) Coordinate and work with the Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN (FMC)) to publish guidance to SECNAV and OPNAV echelon I and echelon II organizations for reporting annual COOP-related expenditures. All organizational COOP program managers will provide COOP funding data, as tasked, for compilation in the annual DoD COOP budget review and Office of Management and Budget data requests.

(7) Coordinate and work with ASN (FMC) budget officials and members of the SECNAV and OPNAV staff to ensure that the DON HQ COOP Program is funded and sustained and alternate sites are fully functional and meet all defined requirements.

(8) Provide budget submission documentation and funding essential for the SECNAV and OPNAV HQ Program, the Navy Operations Center, and their alternate facilities requirements in support of COOP through appropriate channels.

(9) Coordinate and work with the Administrative Assistant of the Under Secretary of the Navy (AAUSN) on echelon I civilian manpower and space issues to aid in the timely restoration of operational capability to the OPNAV directorates.

(10) Coordinate and work with AAUSN to provide for the accountability, reconstitution, and recovery of the DON HQ staff.

(11) Ensure information technology and communication support at the alternate sites is compatible with the Navy's information and communication technology services in the fleets and the Pentagon.

d. Offices of the SECNAV (to include the Offices of the ASNs) shall:

(1) Develop, coordinate, and maintain procedures and checklists to carry out MEFs and to support the DON COOP Program.

(2) Develop and maintain an organization-specific COOP program and plan per subparagraph 7a.

(3) Establish and maintain duty and non-duty hour procedures to quickly notify personnel of COOP execution.

(4) Designate an emergency HQ relocation and reconstitution site per reference (b).

(5) Develop and maintain reconstitution and recovery procedures for their respective staffs.

(6) Implement a telework policy for military personnel and civilian personnel to aid in the completion of organizational MEFs.

e. ASN (FMC) will publish guidance for reporting annual COOP-related costs.

(1) Track all DON-submitted COOP funding requests supporting a viable DON COOP Program.

(2) Request and compile DON-wide COOP funding data to support annual DoD COOP budget and Office of Management and Budget data requests.

8. Changes. Submit change requests for this instruction to Deputy Chief of Naval Operations (Operations, Plans, and Strategy) (DCNO N3/N5), 2000 Navy Pentagon, Washington, DC 20350-2000 (ATTN: COOP DIVISION (N31)).

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9. Reports Control. The reporting requirements contained in subparagraphs 7a(1)(c)1, 7c(6) and 7e are exempt from reports control per reference (f).

10. Records Management. Records created by this instruction, regardless of media and format, shall be managed per reference (c).



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Under Secretary of the Navy

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