SECNAV INSTRUCTION 3030.4E

From: Secretary of the Navy

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

Ref: (a) 10 U.S.C. §5013
     (b) Presidential Policy Directive 40, National Continuity Policy of 15 July 2016
     (c) DoD Instruction 3020.42 of 17 February 2006
     (d) UFC 4-010-01, DoD Minimum Antiterrorism Standards for Buildings of 12 December 2018
     (e) Defense Continuity Program (DCP) Security Classification Guide of 15 December 2005 (NOTAL)
     (f) SECNAVINST 3501.1D
     (g) Federal Continuity Directive 1 of January 2017
     (h) DON CIP Consequence Management Planning Guide of 06 October 2014 (NOTAL)
     (i) DoD Directive 3020.26 of 14 February 2018
     (j) Designation of Component Continuity Coordinator of 08 January 2015
     (k) SECNAVINST 12271.1
     (l) SECNAVINST 5402.8G
     (m) SECNAV M-5214.1

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 (l).

   b. This instruction specifies the DON Mission Essential Functions (MEFs) (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 3030.4D.

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 MEFs.

   b. Every command and organization within the DON must 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 must 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 must ensure the performance of MEFs during any emergency for a minimum of 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 must be used to determine the allocation of limited resources to meet continuity objectives and support the ability to perform MEFs.
f. COOP plans must make use of information technology (IT) 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 will 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 must ensure all personnel are trained on the COOP plan at least annually. The COOP plan will be exercised on an annual basis.


7. Records Management

   a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page: https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx.

   b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local Records Manager or the DRMD program office.

8. Reports. The requirement contained in Enclosure (3), paragraph 1k(4), and n(c)2 are exempt from information collection control, per Part IV, paragraph 7n of reference (m) and requires no Report Control Symbol.

THOMAS B. MODLY
Under Secretary of the Navy

Distribution:
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 reference (b), and DoD issuances.

   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 shall 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 must 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). An internal effort within each DoD Component to ensure that essential functions continue to be performed during disruption of normal operations.

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 will assist organizations in accomplishing continuity objectives.
6. **Devolution Site.** Those locations used to carry out essential functions by devolving the essential functions to a geographically-separated facility and staff following activation of the devolution plan. These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts.

7. **Continuity Personnel.** Those personnel, both senior and core, who provide organizational leadership with advice, recommendations, and functional support necessary to continue essential functions during continuity operations. Continuity personnel are referred to as Emergency Relocation Group (ERG) or Devolution Emergency Response Group members.
CONTINUITY OF OPERATIONS PROGRAM MINIMUM REQUIREMENTS

1. COOP Program Elements and Requirements. COOP programs and plans within the DON must, as a minimum, address 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 Command (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) Conduct a business process analysis or equivalent analytical process to evaluate continuity requirements.

      (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 any 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 to support the COOP plan.

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

d. Essential Functions. Identify and prioritize MEFs and provide supporting justification based on constitutional, statutory, regulatory, or other appropriate guidance. Essential functions that directly support an essential function performed by another organization should also be identified.

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 must specify the conditions and limitations of delegation of authorities.

g. Continuity Facilities. Designate emergency relocation sites per reference (c); dual-use facilities are preferred. Also, designate a facility to be used as a devolution site, at a geographically separated location. 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 performance of MEFs;

   (3) Site considerations include distance from the threat area, vulnerability of relocation routes, and the anti-terrorism provisions of reference (d);
(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 MEF 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, subordinate commands and elements, and 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) Coordinate with Program Offices and service providers to identify critical support for IT, power supplies, and telecommunications.

(5) If applicable under reference (k), include telework in the COOP plan 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 (e) 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. All ERG members must understand their role(s) and responsibilities during a COOP event. In supporting the human capital needs of the continuity program, the continuity plan should:

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

(4) 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 (c) 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 will 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 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 facility for an extended period of time until the primary team can re-establish command and control. Plans must 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. Continuity Plan Operational Phases and Implementation.

(1) Continuity plans within the DON must 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. In this phase, planners shall:

1. Consider the challenges posed by extended events (e.g., pandemic influenza) that occur in a repetitious manner and cannot be addressed by traditional COOP responses;

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

3. Ensure civilian employees assigned to the ERG acknowledge COOP responsibilities and contractors’ statements of work identify requirements as ERG team members with COOP responsibilities.

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

(b) Apply security classification guidance to COOP plans and documents, per reference (e);

(c) Incorporate operations security into COOP execution and into exercise planning, implementation, and evaluation;

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

2. Each command must 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 must 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 readiness of all resources designated for use during all phases of COOP operations.
RESPONSIBILITIES

1. The Under Secretary of the Navy (UNSECNAV) is responsible for the oversight, management, readiness, and compliance of DON COOP.

2. The Deputy Under Secretary of the Navy is designated as the Senior Official in the DON for COOP programs per reference (j) and advises the UNSECNAV on the DON COOP program.

3. The CMC and CNO will:
   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 Assistant Secretary of the Navy, Financial Management and Comptroller (ASN (FM&C)), 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.

4. The Assistant Secretary of the Navy, Financial Management and Comptroller (ASN (FM&C)) will coordinate with the Department of the Navy Assistant for Administration (DON/AA) and other organizations as required during COOP responses to ensure adequate funding is available for alternate sites. Echelon II commands, if involved in a COOP response, must have their comptrollers coordinate with ASN (FM&C) to ensure availability of required resources to support emergency alternatives.

5. The Assistant Secretary of the Navy, Energy, Installations, and Environment (ASN (EI&E)) will support the identification, development, and acquisition of alternate COOP sites when required. ASN (EI&E) must coordinate with the DON/AA on measures specific to alternate sites for the Secretariat staffs.

6. The Assistant Secretary of the Navy, Manpower and Reserve Affairs will ensure the position descriptions of civilian
personnel assigned to COOP duties, and military billets with COOP responsibilities, reflect the additional requirements and duties.

7. The General Counsel (GC) of the Navy, the Judge Advocate General of the Navy, and the Staff Judge Advocate to the CMC will provide legal advice and guidance in the wake of a COOP triggering event.

8. The GC shall periodically review and update DON orders of succession. At a minimum, DON orders of succession shall meet the requirements of Enclosure (3) and be consistent with reference (1).

9. DON/AA will:

   a. Coordinate with OPNAV N315 to validate, update and publish the Navy Headquarters COOP Plan per references (c) and (i);

   b. Ensure Secretariat offices develop organization-level COOP plans or COOP playbooks to support the Navy Headquarters COOP Plan.

10. The DON Deputy Chief Information Officers (Navy and Marine Corps) shall consider COOP requirements and coordinate with the DON Chief Information Officer, program offices and service providers to ensure the development and availability of resilient, secure, and alternative communications and IT capabilities to support execution of MEFs.

11. The Naval Inspector General will include a review of COOP plans, practices, and budgeting in command inspections.