



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON DC 20350-2000

IN REPLY REFER TO:

OPNAVINST 3030.5B
N3/N5
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OPNAV INSTRUCTION 3030.5B

From: Chief of Naval Operations

Subj: NAVY CONTINUITY OF OPERATIONS PROGRAM AND POLICY

Ref: (a) DoD Directive 3020.26 of 9 Jan 09
(b) SECNAVINST 3030.4C
(c) Title 10, United States Code
(d) DON CIP Consequence Management Planning Guide of 6 Oct 04
(e) DoD Instruction 3020.42
(f) United Facilities Criteria (UFC) 4-010-01 of 08 Oct 03
(g) SECNAV M-5210.1 of Nov 07
(h) DoD Instruction 3001.02 of 8 Aug 06
(i) Security Classification Guide, Department of Defense Continuity of Operations of 15 Dec 05 (NOTAL)
(j) OPNAVINST F3100.6H
(k) SECNAVINST 3501.1A
(l) OPNAVINST 3500.41
(m) SECNAV M-5214.1 of 01 Dec 05

1. Purpose. To delineate Navy policy and responsibilities for the implementation of the Navy Continuity of Operations (NAVCOOP) program per references (a) through (m). This instruction has been extensively revised and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 3030.5A.

3. Applicability. This instruction applies to the Offices of the Chief of Naval Operations (OPNAV) and all Navy Echelon I through Echelon VI commands.

4. Discussion. As directed by references (a) and (b), this document provides the means to continue Navy mission essential functions (MEFs) during national security emergencies and events requiring all or part of the Navy to relocate or reconstitute. Navy conducts continuity of operations (COOP) activities and

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executes MEFs in support of the Secretary of Defense (SECDEF), Chairman of the Joint Chiefs of Staff (CJCS), Secretary of the Navy (SECNAV), Chief of Naval Operations (CNO), and Commandant of the Marine Corps (CMC). Navy MEFs also support national essential functions and primary mission essential functions as delineated in National Security Presidential Directive 51/Homeland Security Presidential Directive 20 and Department of Defense (DoD) issuances.

a. Navy MEFs. NAVCOOP provides for the continuity of Navy MEFs during conditions when normal operations have been impaired or made impossible. The Navy MEFs are:

- (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 Secretary of Defense and CJCS continuity directives and plans.
- (5) Execute the Navy's responsibilities under reference (c).
- (6) Provide command and control from all units to CNO and SECNAV and back.

b. COOP is the capability of the Navy to continue its MEFs without unacceptable interruption during a national security emergency. A national security emergency consists 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 degrade or threaten 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 Navy organizations and, as such, it should be incorporated into daily operations and activities.

5. Background. In past years, the content and structure of COOP plans, operational standards, and interagency coordination were left to the organization's discretion. The changing threat environment, recent emergencies, and increased potential for terrorist use of weapons of mass destruction highlighted the need for cohesive and coherent COOP capabilities that enable Navy organizations to continue their MEFs across a broad spectrum of potential scenarios.

6. Policy. Effective direction of Navy forces during crisis requires that MEFs continue with minimal degradation or interruption. References (a) and (d) requires the Navy COOP programs will address 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 Navy MEFs, the following responsibilities and actions for COOP programs and plans shall be implemented:

a. OPNAV echelon I organizations and directorates and Navy echelon II commands and activities 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. Focus on military operations, communications, transportation, and resource recovery. During this phase, 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 support, and take advantage of parallel COOP processes that occur in other Navy activities, Federal components, and civil government;

3. Ensure assigned units develop a COOP plan that ensures their continuity and supports 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 plan;

5. Develop and maintain a COOP plan capable of supporting the performance of MEFs in an all-hazards environment and ensure succession of leadership;

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

7. Conduct an annual program evaluation to ensure compliance with references (a) through (m).

(b) Risk Management: Apply a risk-based framework across all continuity efforts in order to identify and assess potential hazards, determine what levels of risk are acceptable, and prioritize and allocate resources among 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; and

3. Include COOP funding as an item in the annual budget submission. Identify and justify estimates through prescribed budget exhibits and appropriate informational elements.

(d) Essential Functions: Identify MEFs in order of preference. Prioritize essential and non-essential functions that can be deferred until time and resources permit

restoration. Identify a category to justify the requirement of each MEF (e.g., constitutional, legislative (reference (c)), presidential, DoD regulation, Navy regulation, etc.).

(e) Orders of Succession: Establish and maintain orders of succession (three positions deep) to key positions. Provide guidance, procedures, training, and support equipment to ensure a smooth transition 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 will specify the conditions and limitations of delegations of authority.

(g) Continuity Facilities: Identify and designate emergency headquarters relocation and reconstitution sites per reference (e) and ensure that:

1. Sites are accessible and available during the full spectrum of hazards and emergencies;
2. Sites have the capability and supporting infrastructure to be fully operational within 12 hours of notification to activate and commence MEF performance;
3. Site considerations should include distance from the threat area, vulnerability of relocation routes, and the provisions of reference (f);
4. Transportation guidance and information is provided for individuals deploying to alternate locations; and
5. Sustenance provisions (i.e., food and water) necessary to maintain relocating staff for MEFs execution for 30, 60, and 90 days are identified and available.

(h) Continuity Communications: Identify and document procedures and processes for communications, information assurance, information management, disaster recovery, and infrastructure logistics support.

1. Provide for robust, redundant, and recoverable communications capabilities to support connectivity among SECDEF, CJCS, SECNAV, CMC, CNO, their successors and the echelon II commands and their activities;

2. Identify sufficient space, infrastructure, power, life support, and network connectivity (secure and non-secure) to accommodate continuity staff personnel and equipment required to continue 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 critical contractor support personnel at the alternate location(s) on a 24-hour/7-day basis;

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

5. Ensure a telework policy and process for military and civilian personnel is developed and implemented to aid in the completion of organizational MEFs.

(i) Vital Records Management: Appendix H of reference (g) sets forth the objectives and program guidelines of the Navy's Vital Records Program. The Navy 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 Navy'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 perform their response duties. Therefore, emergency response plans must ensure all employees (deploying and non-deploying) understand their role during the emergency including building evacuation and shelter-in-place plans.

1. Ensure a process exists to identify, document, communicate with, and train continuity and non-continuity personnel on their emergency procedure responsibilities;

2. Provide guidance to continuity personnel on individual preparedness measures to ensure rapid response to any national emergency;

3. Ensure a process exists to communicate the building's operating status to all occupants;

4. Ensure a process exists to communicate the organization's operating status to all assigned personnel;

5. Ensure procedures exists to contact and account for all staff in an emergency event;

6. Identify a human resource (HR) staff member to work with the organization's continuity planning officer (CPO) and aid in the development of continuity plans;

7. Using the assigned HR staff member, ensure procedures exist 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; and

8. Using the assigned HR staff member, ensure procedures exists to accommodate the need to account for all assigned family members and provide for the collection of a needs assessment in response to a national emergency per paragraph 5.5.1 of reference (h).

(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, however 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 (e) with a developed training and exercise program;

3. Test alert, notification, and 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 Navy's lessons learned (LL) database for resolution utilizing the Navy's LL process and procedures. Incorporate LL from exercises and tests into the plan, as appropriate, and distribute both the 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 employees; work options and reallocation procedures for non-deploying personnel; available support for family members of Navy employees; alert, notification, and evacuation procedures; emergency contacts; security considerations, and fly-away kits; and

6. Ensure all ERS personnel (and alternates) accomplish an annual visit/orientation to the alternate site(s).

(l) Devolution of Control: Provide guidance for units to establish devolution/delegation procedures, i.e., the transfer of statutory authority and responsibility for essential functions from the primary operating team to other teams or facilities for an extended period 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: Ensure a reconstitution manager is designated 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 Navy organizations, activities, or commands. Plans must be executable during duty and non-duty hours with little or no warning. In addition, plans must ensure 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 (e.g., pandemic influenza) that 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 COOP plan to the Deputy Chief of Naval Operations for Operations, Plans, and Strategy (CNO (N3/N5)) or ISIC annually, or sooner if updated.

b. Maintain a record of changes.

3. Using the assigned HR staff member, ensure civilian employee position descriptions for assigned ERS team members are annotated to designate the position as "emergency essential";

4. Using the assigned organization's contracting officer, ensure contractor statements of work stipulate which positions are designated as "emergency essential" for COOP execution;

5. Ensure security provisions and procedures for personnel, physical, operational, and information security are addressed and integrated into COOP planning and execution;

6. Apply security classification guidance to COOP plans and documents, per reference (i);

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

8. Coordinate with the alternate facilities to ensure deploying personnel are cleared to enter the facilities during the COOP event.

(2) Designate an OPR within the organization for COOP and appoint a CPO to serve as the point of contact for all COOP planning issues between assigned units and ISICs. Provide the COOP OPR and CPO status information annually to the ISIC or CNO (N3/N5) to ensure dissemination of current directives, information, and transmission of funding data.

(3) Ensure the organization's critical infrastructure protection requirements required to ensure the means to continue Navy MEFs in accordance with references (j) through (l) are documented.

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

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

(6) Develop, coordinate, and maintain procedures and checklists that ensure prioritized MEF completion and support the COOP program.

(7) Establish and maintain procedures to rapidly notify personnel (duty and non-duty hours) in support of COOP plan execution.

(8) Establish and maintain procedures to rapidly notify higher headquarters and the Navy Operations Center of installation/facility evacuation and execution of organizational COOP plans in accordance with operational report, OPREP-3 NAVY BLUE procedures in reference (j).

(9) Develop and maintain reconstitution and recovery procedures for their assigned staffs.

(10) Coordinate with the appropriate financial management and comptroller office to ensure the unit meets the published COOP budget submission and tracking guidance for funding and reporting annual COOP-related expenditures.

(a) Track all submitted COOP funding requests supporting a viable COOP program.

(b) Request and compile COOP funding data as required to support the annual COOP budget data requests.

b. OPNAV echelon III to echelon VI organizations, not included in their ISIC or parent command COOP program, will develop a COOP program in accordance with subparagraph 7a that supports the ISIC's or parent command's COOP program and addresses the organizations continuity requirements.

c. The CNO (N3/N5) is the Navy-wide and Department of the Navy (DON) Headquarters (HQ) OPR for COOP policy, execution, operations, exercises, and training. CNO (N3/N5) shall:

(1) Establish and issue Navy policy and guidance for Navy COOP per references (a) through (m).

(2) Issue and review this instruction and all associated Navy COOP program guidance to ensure it remains updated per references (a) through (m). SECNAV and OPNAV COOP program instructions will be reviewed annually and updated as required.

(3) Supervise the implementation and execution of the DON HQ COOP plan.

(4) Coordinate with other Service, SECNAV, Joint Staff, 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.

(5) Issue COOP operations, exercise, and training guidance per references (a) through (m).

(6) Coordinate the execution and training of the DON HQ COOP plan with senior Navy leadership.

(7) Assist the OPNAV directorates and echelon II commands and activities in developing their COOP plans.

(8) Develop a multi-year continuity strategy and program management plan (MYSPMP). 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 to:

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

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

(c) Identify forecasted changes to the infrastructure, communications, and other resources needed to support the program.

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

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

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

(g) Integrate the Navy's personnel, physical, and information security strategies to protect plans, personnel, facilities, and capabilities to prevent adversaries from disrupting continuity plans and operations.

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

(9) Coordinate with CNO Director of Navy Staff (DNS) on all policy and execution decisions that affect program funding and/or IT associated with the DON HQ COOP program.

d. The DNS is the DON HQ OPR for COOP IT and program funding and shall:

(1) Coordinate and work with the Assistant Secretary of the Navy (Financial Management and Comptroller) to publish guidance to 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.

(2) Coordinate with Navy budget officials and members of the OPNAV staff to ensure the DON HQ COOP program is funded and sustained and alternate sites are fully functional and meet all defined requirements.

(3) Provide budget submission documentation and funding essential for the Navy Operations Center and its alternate facility requirements in support of COOP through appropriate channels.

(4) Work with the Assistant for Administration of the Under Secretary of the Navy on echelon I civilian manpower and space issues to aid in the timely restoration of operational capability to the OPNAV directorates.

(5) Provide for the accountability, reconstitution, and recovery of the OPNAV staff.

(6) Coordinate with Deputy Chief of Naval Operations, Information Dominance (CNO (N2/N6) to ensure IT and communication support at the alternate sites is compatible with the Navy's information and communication technology services in the fleets and the Pentagon.

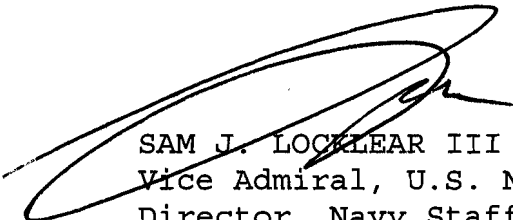
(7) Coordinate with CNO (N3/N5) on all IT and program funding decisions, which would affect the policy and execution of the DON HQ COOP program.

8. Waiver. Waiver authority for this instruction is held by CNO (N3/N5).

9. Changes. Submit change requests for this instruction to CNO (N3/N5), 2000 Navy Pentagon, Washington, DC 20350-2000 (ATTN: COOP Coordinator (N31)).

10. Records Management. Records created by this instruction, regardless of media and format, will be managed in accordance with reference (g).

11. Reports Control. The reporting requirements contained within this instruction are exempt from reports control per reference (m).



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