



DEPARTMENT OF THE NAVY
BUREAU OF MEDICINE AND SURGERY
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IN REPLY REFER TO
BUMEDINST 3030.4A
BUMED-M4
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BUMED INSTRUCTION 3030.4A

From: Chief, Bureau of Medicine and Surgery

Subj: CONTINUITY OF OPERATIONS PROGRAM

Ref: (a) See appendix A

1. Purpose. To issue Bureau of Medicine and Surgery (BUMED) policy regarding the Navy Medicine (NAVMED) continuity of operations (COOP) program per references (a) through (q) listed in appendix A. Appendix B provides a list of defined acronyms. This revision updates COOP cybersecurity planning elements and provides an assessment template for COOP plans. This instruction is a complete revision and it should be reviewed in its entirety.

2. Cancellation. BUMEDINST 3030.4.

3. Scope and Applicability. This instruction applies to all NAVMED activities. It does not apply to deployable or expeditionary medical commands or elements.

4. Background

a. The United States maintains a comprehensive continuity capability at all levels of government to meet the essential defense and domestic needs of the Nation's citizens during periods of national emergency. As described in reference (a), COOP is an organization's ability to continue mission essential functions (MEFs) with little or no interruption during and in the aftermath of an emergency. In today's asymmetric environment, NAVMED must ensure the uninterrupted execution of MEFs and be prepared to continue its MEFs under all circumstances and across the spectrum of threats including environmental, technological, terrorism, adversary, public health emergencies, and other man-made emergencies per references (b) and (c).

b. Natural and man-made events can occur without warning, disrupting normal operations and making COOP planning a fundamental mission of all Navy organizations. The purpose of the NAVMED COOP program is to ensure the ability of every command and facility in the enterprise to continue the execution of its MEFs. The NAVMED COOP program represents an integrated set of policies, plans, and procedures that support the Department of Defense (DoD) and Navy's continuity programs. The changing and emerging threat environment, e.g. pandemics, cyber vulnerabilities, adversarial capabilities, and an increasing potential for terrorist use of weapons of mass destruction, highlights the need for integrated and seamless COOP

capabilities. The establishment of an effective COOP program will enable the NAVMED enterprise to successfully execute all MEFs and continuously deliver critical medical support throughout the full spectrum of all-hazards emergencies.

5. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy (DON) Directorate for Administration, Logistics, and Operations, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the DON Directorate for Administration, Logistics, and Operations, Directives and Records Management Division program office.

6. Review and Effective Date. Per OPNAVINST 5215.17A, Fleet Support & Logistics (BUMED-M4) will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of the Navy (SECNAV), and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

7. Information Management Control. The reports contained in enclosure 1, chapter 3 of this instruction are exempt per the SECNAV Manual 5214.1 of December 2005, part IV, subparagraph 7l.



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Acting

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via the Navy Medicine Web site, <https://www.med.navy.mil/directives/Pages/BUMEDInstructions.aspx>

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CHAPTER 1
POLICY

1. Definitions

a. Bureau of Medicine and Surgery (BUMED). An agency of the DON that manages health care activities for the United States Navy (USN), United States Marine Corps (USMC), and other Services where assigned. It is the echelon 2 headquarters (HQ) command for NAVMED.

b. NAVMED. An enterprise comprised of DON military and civilian health care personnel.

c. Defense Health Agency (DHA). A joint, integrated combat support agency enabling the U.S. Army, USN, and U.S. Air Force medical departments to provide a medical ready force to combatant commands in both peacetime and wartime. At the direction of Congress, the management of medical facilities are transitioning from the Services to the DHA.

d. NAVMED Echelon 2 through Echelon 6 Commands. BUMED, NAVMED regional commands reporting to BUMED (consisting of Naval Medical Forces Atlantic, Naval Medical Forces Pacific, and Naval Medical Forces Support Command, and all respective echelon 3 through echelon 6 subordinate commands and activities).

e. BUMED Commanded Activities. BUMED commanded activities include Navy Medicine Readiness and Training Commands (NAVMEDREADTRNCMD), Navy Medicine Readiness and Training Units (NAVMEDREADTRNUNIT) and a variety of other commands captured under the category of non-medical treatment facilities (MTF). It does not apply to deployable or expeditionary medical commands or elements.

f. NAVMEDREADTRNCMD and NAVMEDREADTRNUNIT. These commands and units are comprised of NAVMED personnel, both uniformed and civilian, assigned to staff a DHA managed MTF. They are led by a uniformed NAVMED commander, commanding officer (CO), or officer in charge (OIC) and report via a NAVMED chain of command. They are responsible for designating the medical emergency manager, executing the NAVMED COOP program, and supporting the DHA COOP program as defined in subparagraph 1h of this enclosure.

g. NAVMED COOP Program. Commonly applies to COOP preparedness and response requirements at all NAVMED echelon 2 through echelon 5 commands and activities. Ultimately, NAVMED commanders, COs, and OICs are responsible for ensuring their COOP plan provides for the continued, effective execution of all MEFs and critical mission support throughout and in the aftermath of any all-hazards contingency.

h. DHA COOP Program. Commonly applies to COOP preparedness and response requirements under the authority of the DHA. At MTFs, close coordination between the DHA and NAVMEDREADTRNCMD or NAVMEDREADTRNUNIT leadership is required to ensure

both DHA and NAVMED COOP planning mutually supports all MEFs and that essential medical support to the host installation and key tenant commands, including mass casualty and public health emergency response is not compromised.

i. MEFs. MEFs are functions that must be continued throughout, or resumed immediately after, a disruption of normal activities. MEFs are the functions directly related to accomplishing an organization's general mission as set forth in statutory or executive charter. MEFs also refer to essential supporting activities that the organization must continue in a continuity activation, such as human resources management, security, and facilities management. NAVMED executes its MEFs to fulfill requirements in support of the Secretary of the Navy (SECNAV), Chief of Naval Operations (CNO), and Commandant of the Marine Corps (CMC). NAVMED MEFs also support the DON and DoD primary MEFs, and the national essential functions. Reference (d) provides guidance and direction in the process for the identification and periodic review and verification of MEFs.

2. Discussion

a. 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 a good business practice, a part of the fundamental NAVMED mission and as such, it should be incorporated wherever possible into daily operations and activities.

b. COOP planning is best achieved through integration with the various programs under mission assurance that enable operational capability to continue with limited or no impact to mission execution, should an event or other disruption occur. NAVMED commands and facilities should develop integrated solutions among all programs that most effectively and efficiently enhance mission execution.

3. Action

a. Every command and organization within NAVMED will implement a COOP program unless their COOP planning is included by the next higher authority in their chain of command (e.g., parent command or immediate superior in command (ISIC)), or they do not have functions required to be maintained through the first 30 days after an event. If the local activity's COOP plan is included within their higher level authority's plan, the local activity must conduct their own test and evaluation of the relevant portion of the higher level COOP plan. If a command determines it does not have functions required to be maintained for the first 30 days after an event and therefore, does not intend to field a COOP program, a waiver request must be submitted to BUMED via the chain of command. NAVMED commands and organizations should be knowledgeable of their parent command or ISIC's COOP program. 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. COOP program and planning requirements for NAVMED components are specified in chapter 3 of this instruction.

b. COOP plans must be comprehensive 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.

c. COOP plans must 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 plan activation.

d. Risk planning and management must be employed to determine the most effective allocation of limited resources to meet continuity objectives and support the ability to execute MEFs.

e. COOP plans should 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 (IS), and networks must be interoperable, robust, reliable, and resilient.

f. Continuity programs must be under the management of a senior official in the organization who is accountable to the commander, CO, or OIC.

g. Continuity program managers will ensure all personnel are trained on the organization's COOP plan at least annually. The regular exercising of unit level COOP plans ensures an effective contingency command structure and essential IS and networks are ready to support essential operations during any contingency.

h. COOP plans should be self-assessed by the responsible program manager using the COOP plan assessment benchmarks available in appendix C. The COOP plan assessment benchmarks are derived from the DoD mission assurance program benchmarks, to provide a common assessment standard used by all NAVMED organizations, their host installations, and DoD mission assurance assessment teams.

i. Per references (d), (e), and (f), DON critical infrastructure and emergency management programs require proactive actions to identify potential vulnerabilities and make risk based decisions. COOP planning is one element of the risk management program and is required for all DON critical infrastructure.

CHAPTER 2
RESPONSIBILITIES

1. Overview

a. This COOP program manual serves as the principal guidance within NAVMED and across all BUMED commanded activities for implementing and sustaining a functional COOP plan per references (c) and (g).

b. All BUMED commanded activities will implement a COOP plan that facilitates the continued execution of all MEFs and where applicable, is aligned with their host installation's essential medical support requirements, including mass casualty and public health emergency response per references (h) and (i).

2. Responsibilities

a. Director, Emergency Preparedness programs (BUMED-M453) serves as the program manager for the NAVMED COOP program and is responsible for the oversight, management, training, readiness, and compliance of the enterprise COOP program. Specific responsibilities include:

(1) Exercise overall responsibility for the development, implementation, and management of NAVMED COOP policy and program direction.

(2) Ensure NAVMED COOP guidance, policies, plans, and procedures are consistent with applicable directives from the President, Office of the Secretary of Defense, Department of Homeland Defense, Federal Emergency Management Agency, SECNAV, Office of the Chief of Naval Operations, CMC, and BUMED.

(3) Ensure the COOP program is integrated and synchronized with mission assurance related programs.

(4) Assist BUMED HQ and echelon 3 commands in developing their COOP programs and plans.

(5) Conduct an annual review of the NAVMED, BUMED HQ, and echelon 3 command COOP programs and plans.

b. Director for Administration (BUMED-M09B) must develop, implement, and execute the COOP plan for BUMED HQ, and approve the COOP plans for all BUMED HQ detachments.

(1) Prepare, coordinate, validate, and maintain the BUMED HQ COOP plan.

- (2) Ensure the BUMED HQ COOP plan supports SECNAV, CNO, and CMC requirements.
 - (3) Plan, conduct, test, and assess a BUMED HQ COOP plan exercise at least annually (may be a tabletop, functional, or full-scale exercise).
 - (4) Establish policy and provide guidance for identifying, storing, protecting, and maintaining BUMED HQ COOP plan emergency files, essential records, materials, and databases required to execute BUMED HQ MEFs.
 - (5) Maintain a BUMED HQ COOP emergency relocation roster and integrate the assigned personnel into the BUMED HQ mass warning (alert) and notification system.
 - (6) Conduct quarterly tests of the BUMED HQ COOP notification process using the mass warning (alert) and notification system.
 - (7) Assist BUMED HQ detachments in developing their COOP programs and plans.
 - (8) Conduct an annual review of BUMED HQ detachments' COOP programs and plans.
- c. The BUMED Staff Judge Advocate (BUMED-M00J) must provide legal consultation as needed, and particularly in regard to the order of succession and delegation of authority during COOP.
 - d. Assistant Deputy Chief (ADC), Manpower and Personnel (BUMED-M1), must ensure all COOP program personnel requirements are established and documented in manpower and personnel systems to include the identification and acknowledgement of continuity staff roles and responsibilities, identification of relocation staff, and establishment of a telework policy.
 - e. ADC, information management (IM), and IT (BUMED-M6B) in coordination with the M096B, information systems security manager (ISSM), must provide IT and cybersecurity risk management support, and ensure the inclusion of relevant cybersecurity elements in recurring COOP exercises.
 - f. ADC, Training and Education (BUMED-M7B), must incorporate COOP training into Enterprise Wide Course Assignment Schedule and coordinate with Commander, Naval Medical Forces Support Command to assure identified COOP training is available for assignment in the Relias Learning Management System.
 - g. ADC, Financial Management (BUMED-M8B), must ensure that continuity programs are supported by the assets and resources necessary for the development, operation, and maintenance of facilities, interoperable communications, and transportation capabilities. Additionally, BUMED-M8B must identify the funding to facilitate the execution and sustainment of the NAVMED COOP program, as well as forecast and establish the budgetary requirements to support the BUMED HQ COOP plan.

h. The Director, Communications (BUMED-M09B7) must serve as the point of contact for guidance regarding strategic communications, media inquiries, and public affairs matters related to the COOP program.

i. The BUMED Medical Inspector General (MEDIG) (BUMED-M00IG) must include the review and assessment of required COOP program components and benchmarks as part of their inspection program.

j. NAVMED echelon 3 commanders must provide leadership, oversight, and management to support the implementation of the COOP program at all BUMED commanded activities under their authority.

k. NAVMED echelon 4 through echelon 6 commanders, COs, and OICs must:

(1) Implement and execute the requirements of this issuance, applicable references, and supporting publications. As previously specified, the NAVMED COOP program does not apply to deployable or expeditionary medical commands or elements.

(2) Ensure COOP plans incorporate their MEFs as the basis for their continuity planning, preparation, and exercises.

(3) Provide all critical and mission essential medical support to their host installation COOP program, consistent with their capabilities. The scope of required support will vary, with NAVMEDREADTRNCMDs and NAVMEDREADTRNUNITs having more significant requirements and non-MTFs providing less support. All NAVMED facilities are required to ensure their COOP plan is coordinated, integrated, and exercised with their host installation.

(4) Ensure full participation and integration in host installation COOP training, exercises, and activities.

(5) Ensure the COOP planning officer, critical support staff, and reconstitution manager are designated as mission essential or emergency essential staff members.

(6) Ensure staff education and training supports the COOP program requirements.

l. NAVMED Commanders, COs, and OICs must:

(1) Implement and execute the requirements established in this instruction. NAVMED COs and OICs assigned at facilities under the management of the DHA must ensure their COOP planning, exercising, and execution efforts are aligned and coordinated with all applicable DHA COOP policy and guidance.

(2) Coordinate COOP planning, preparation, and exercise activities with their parent command and host installation, ensuring mass casualty and public health emergency response support are maintained, where applicable.

CHAPTER 3
COOP PROGRAM REQUIREMENTS

1. COOP Programs and Plans. COOP programs and plans will, at a minimum, include the elements and requirements in subparagraphs 1a through 1o, per reference (j).

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 that it supports their ISIC or parent command's COOP requirements. Tenants with MEFs should share and coordinate their COOP plans with the installation COOP planning officer or emergency manager to ensure that COOP plan assistance and support required from the installation is sufficiently coordinated.

(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) Review COOP plans at least annually and update as required.

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

(8) Conduct an annual COOP plan self-assessment per chapter 4 of this instruction.

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, per reference (k).

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). Documentation of costs should include operations and maintenance expenses that are associated with COOP capabilities.

(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, 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 (e.g., constitutional, legislative, presidential). Establish the priority of each function by examining the consequences of the nonperformance of those functions and plan to defer lower priority functions during a crisis. Prioritization will also guide MEF reconstitution operations. MEFs that require continuous performance or very rapid restoration following a disruption will likely require more robust backup systems, redundancies, and resiliencies than MEFs that may be recovered after a few days.

e. Orders of Succession. Establish and maintain orders of succession to key positions, and provide guidance and procedures to ensure the smooth transition of succession. Planning provisions should ensure the appropriate level of training and equipping for key personnel identified in the order of succession. General orders of succession guidelines are listed in subparagraphs 1e(1) through 1e(6):

(1) Identify orders of succession at least three positions deep for key leadership positions.

(2) Include designated officials assigned to devolution staffs, where applicable.

(3) Use geographically dispersed successors, where feasible.

(4) Describe orders of succession by positions or titles of individuals holding those offices.

(5) Obtain legal sufficiency reviews by the organization's legal counsel for original orders of succession determinations and as changes occur.

(6) Include orders of succession as essential files, with copies accessible or available at both the primary and alternate sites.

f. Delegations of Authority. Identify and document appropriate delegations of authority required to ensure continued, uninterrupted MEFs performance during and after a COOP event. Delegations of authority, like orders of succession, take effect when normal channels of direction are disrupted, and terminate when these channels have resumed, particularly in a devolution scenario. Organizations should identify the individuals to whom authorities are delegated by position title and not by name. However, individuals should be trained, qualified, and certified to execute authorities that may be delegated to them, as necessary. Delegations of authority:

(1) Are included as essential records.

(2) Are written per applicable statutes and regulations ensuring that the organization's MEFs are performed.

(3) Identify explicitly the authority of an official to re-delegate functions and activities, as appropriate.

(4) Describe the legal limits of and any exceptions to the authority and accountability for delegated officials.

(5) Define the circumstances, to include a devolution situation, if applicable, under which delegations of authorities would take effect and would be terminated.

g. Continuity Facilities. Identify at least one continuity facility (taking into account established distance criteria based on all-hazards analysis) from the main operating location of the respective organization. The term continuity facilities is comprehensive, referring to both alternate and devolution sites, as well as work arrangements such as telework and mobile work concepts. When considering continuity facilities, COOP planners should 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, availability of Non-classified Internet Protocol Router Network (NIPRNET) and Secret Internet Protocol Router Network (SIPRNET), and physical security including perimeter, access, billeting, internal functions, and networks and communications commensurate with the performance of essential functions.

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

(5) Sustenance provisions (i.e., food and water) necessary to support relocation personnel for up to 30 days are identified and available.

(6) Essential memorandums of agreement are entered into as needed to support continuity facility requirements.

h. Continuity Communications and IS. COOP plans must specify and prioritize the communications and IT systems required to perform each MEF.

(1) Continuity Communications. COOP plans must identify the emergency communications systems used by key leaders and other select continuity personnel while in transit and at the alternate sites. Systems to consider include those listed in subparagraphs 1h(1)(a) and 1h(1)(b).

(a) COOP plans should identify continuity positions that require Government Emergency Telecommunications Service and Wireless Priority Service.

(b) Residential and mobile secure communications (e.g., DoD mobility classified capability device) for senior leadership.

(2) Cyber-COOP Framework. COOP plans must identify the criticality and priority of IS required to perform essential functions and recognize cyber resiliency as an integral contingency measure. Furthermore, COOP planning must address the use of primary and alternate systems for the performance of essential functions. Reference (m) directs DoD to apply resilience to these resources and to implement a multi-tiered cybersecurity risk management process as described in National Institute of Standards and Technology Special Publication (NIST) 800-39, Managing Information Security Risk: Organization, Mission, and Information System View, and to develop IS contingency plans and conduct exercises to recover IS services following an emergency or IS disruption using guidance found in NIST Special Publication 800-34, Revision 1, Contingency Planning Guide for Federal Information Systems. IS contingency plans provide key information needed for system recovery, including roles and responsibilities; inventory information; assessment procedures; detailed recovery procedures; and testing procedures for a system. COOP planners will:

(a) Identify communication and network ISs, control systems, secure and non-secure voice, data, and video that support essential functions and essential records;

(b) Ensure essential systems and records at alternate sites are operational to support MEFs within required time frames; and

(c) Identify and test IT systems and control systems, per reference (f).

(3) Alternate Systems. These should include other methods, such as the use of voice, instead of data, and the use of data, instead of video. Alternate methods, which are not dependent on internet protocol-based IT systems, should be identified for the performance of essential functions in the case of a degraded cyberspace environment. Planning must also consider the use of alternate networks, e.g., classified network, should an unclassified network become disrupted.

i. Telework, Mobile Work, and Directed Work Locations. There is a direct relationship between COOP and telework. The two programs share the basic objective of performing and maintaining an organization's functions from an alternative location. Telework can assist

sustainment of essential functions during a change to the normal operating status, such as during winter storms or a pandemic influenza event, however, telework may not be viable for continuing essential functions during all events (e.g., cyber events, mass power outage). If an organization plans to utilize telework as a component of their COOP planning to continue essential functions, it must be documented in the plan. Participating staff should exercise their telework capability at least once every 30 days to ensure required IS and networks are operable. When using telework as a primary or back-up continuity procedure, commands must adhere to reference (n) and provide protection of the information and ISs used during telework activities according to government standards.

j. Essential Records Management. Essential records refer to ISs technology, applications, infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions during a 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 (m) sets forth the objectives and guidelines of the DON essential records program. This program is the means by which records that are 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.

k. 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) Safeguard documents per personally identifiable information and other DoD guidelines.

(3) Provide guidance to continuity personnel on individual preparedness measures to ensure rapid response to any local or national emergency per established emergency management planning.

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

(5) Implement a process to account for all staff in an emergency event, as required in reference (g).

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

(7) 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.

(8) Ensure appropriate language in contracts for contractors who are part of the continuity staff that legally binds and defines the contractors' responsibilities and level of participation during a continuity event.

1. Test, Training, and Exercise (TT&E) Program. NAVMED organizations must plan, conduct, and document annual 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 emergency relocation group 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. Exercises should simulate a cyber-degraded environment to aid in prioritizing ISs and developing necessary tactics, techniques, and procedures.

(4) Publish a corrective action plan following each exercise with issues entered into the organization's lessons learned database for resolution utilizing the organization's lessons learned process and procedures. Lessons learned will be forwarded to the ISIC for improvement in other COOP plans. Incorporate lessons learned from exercises and tests into the plan, as appropriate, and distribute both after action report and corrective action plan 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 NAVMED 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. The COOP planning officer is responsible for tracking and documenting COOP training and alternate site orientation.

m. 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, or facility 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.

n. 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. COOP plans should include information essential to their reconstitution efforts including identification of:

(1) Personnel, systems, communications, IT, office and conference space, and other capabilities required to re-establish normal operations.

(2) Process to identify and incorporate lessons learned into reconstitution planning and execution.

o. Continuity Plan Operational Phases and Implementation

(1) Continuity Operational Phases. Continuity plans within NAVMED will address the four operational phases of plan implementation as outlined in subparagraphs 1o(1)(a) through 1o(1)(d).

(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, IS contingency plans, and building occupant emergency plans.

(c) Continuity Operations. This phase includes the activities listed in subparagraphs 1o(c)1 through 1o(c)5 to continue essential functions.

1. Accounting for all organization personnel.

2. Reporting on operational capabilities to ISIC.
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 (e.g., pandemic influenza) that occur in a repetitious manner and cannot be addressed by traditional COOP responses.

(b) Review and validate, or 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 contractors' statements of work identify requirements as emergency relocation group 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) Identify those positions within the organization that have the authority to activate the COOP plan.

(f) Apply security classification guidance to COOP plans and documents, per reference (n).

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

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

(3) OPR. Each command will have an office designated as the OPR for COOP, and appoint a continuity planning officer 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 continuity planning officer status information will be updated annually (or more frequently if changes occur) and provided to the ISIC to ensure dissemination of the latest directives and information.

2. Guidance Accessibility. 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.

3. Resource Tracking. Establish methods to track the availability and readiness of all resources designated for use during all phases of COOP operations.

APPENDIX A
REFERENCES

- (a) DHS FEMA Federal Continuity Directive 1 of 17 January 2017
- (b) DoD Directive 3020.26 of 14 February 2018
- (c) OPNAVINST 3030.5C
- (d) SECNAVINST 3501.1D
- (e) DHS FEMA Federal Continuity Directive 2 of 13 June 2017
- (f) DoD Instruction 6055.17 of 13 February 2017
- (g) SECNAVINST 3030.4E
- (h) OPNAVINST 3440.17A
- (i) BUMEDINST 3440.10A
- (j) DoD Instruction 3020.42 of 17 February 2006
- (k) OPNAVINST 3502.8
- (l) SECNAVINST 12271.1
- (m) SECNAV M-5210.1 of September 2019
- (n) ASD(HS) Defense Continuity Program Security Classification Guide of 15 December 2005
- (o) 2020 Chairman of the Joint Chiefs of Staff Mission Assurance Benchmarks (NOTAL)
- (p) DoD Instruction 8500.01 of 14 March 2014
- (q) DHA-AI 104 of 8 June 2019

APPENDIX B
LIST OF ACRONYMS

ADC	Assistant Deputy Chief
BUMED	Bureau of Medicine and Surgery
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
CO	Commanding Officer
COOP	Continuity of Operations
DHA	Defense Health Agency
DoD	Department of Defense
DON	Department of the Navy
DON/AA	Department of the Navy/Assistant for Administration
EMP	Emergency Management Planning
HQ	Headquarters
IS	Information Systems
ISIC	Immediate Superior in Command
IT	Information Technology
MEF	Mission Essential Function
MTF	Medical Treatment Facility
NAVMED	Navy Medicine
NIPR	Non-classified Internet Protocol Router
NIST	National Institute of Standards and Technology
NAVMEDREADTRNCMD	Navy Medicine Readiness and Training Command
NAVMEDREADTRNUNIT	Navy Medicine Readiness and Training Unit
OIC	Officer in Charge
OPNAV	Office of Chief of Naval Operations
OPR	Office of Primary Responsibility
OPREP	Operations Report
POM	Program Objective Memorandum
SECDEF	Secretary of Defense
SECNAV	Secretary of the Navy
SIPRNET	Secret Internet Protocol Router Network
SSIC	Standard Subject Identification Code
TT&E	Test, Training, and Exercise
USN	United States Navy
USMC	United States Marine Corps

APPENDIX C
COOP PLAN ASSESSMENT BENCHMARKS

1. Purpose. The COOP Plan Assessment Benchmarks are derived from references (c) and (o). They address communications, facilities, IT, trained personnel, and other assets necessary to conduct MEFs and supporting activities. They also address specific activities that must be conducted in order to perform organizational mission essential tasks in support of assigned MEFs, and assess the ability of the DoD component’s MEFs to continue under all and across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and attack-related emergencies.

2. Benchmarks

Number	Category	Benchmark
COOP-01	Program, Plans and Procedures	<p>Organizations must develop, coordinate, maintain, and validate continuity program and plans. Continuity plans must be reviewed every 2 years and updated, if necessary. Plans and procedures should provide clear objectives and instructions and must be executable with or without warning and during duty or non-duty hours.</p> <ul style="list-style-type: none"> • Is a COOP planning officer designated in writing? • Do continuity plans, procedures, objectives, and requirements provide for the continued performance of an organization’s MEFs under all circumstances? • Does the COOP plan address the following four operational phases? <ul style="list-style-type: none"> • Readiness and preparedness? • Activation? • Continuity operations? • Reconstitution? • Does the plan identify interdependencies with other organizations, both within and outside the DoD? • Are operations security requirements integrated into the plan? • Can the plan be executed with or without warning? • Has a copy of the COOP plan and COOP point of contact been provided to the ISIC? • Is the COOP plan reviewed and updated at least every 2 years? <p><u>Best Practice</u>: References (a) and (d) provide checklists and templates for the development of a COOP program and plan.</p>

COOP-02	Risk Management	<p>Risk management considerations must inform readiness decisions.</p> <ul style="list-style-type: none"> • How were the consequences of the non-performance of identified MEFs examined to determine criticality? • Has an impact or mission analysis been conducted to identify essential function relationships, interdependencies, time sensitivities, threats and vulnerabilities, that impact and support the performance of the MEFs?
COOP-03	Budgeting and Acquisition of Resources	<p>Ensure that continuity programs are supported by assets and resources, necessary for the development, operation, and maintenance of facilities, interoperable communications, and transportation capabilities.</p> <ul style="list-style-type: none"> • Does the budgeting and acquisition process ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event?
COOP-04	MEFs and Essential Supporting Activities	<p>Responsible commanders must identify core requirements as the first step in continuity plan development. Core requirements include the identification of MEFs.</p> <ul style="list-style-type: none"> • Are MEFs identified and prioritized to support COOP planning and execution? (e.g., command and control; command decisions and strategies; crisis communications including alerts and notifications; crisis data storage, retrieval, and security; legal obligations; fiscal and contractual obligations; personnel; and critical support to or from other DoD components)? • Are interdependencies needed to perform MEFs identified? <p><u>Best Practice:</u> Identify installation support to critical assets and tenant continuity plans.</p>
COOP-05	Orders of Succession	<p>Continuity planning should establish orders of succession.</p> <ul style="list-style-type: none"> • Is there a documented clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization per applicable laws and directives? • Are orders of successions established with at least three positions identified in the line of succession, to include a geographically dispersed successor, where feasible? • Are orders of succession identified by titles and positions, rather than by names of individuals holding those offices?

COOP-06	Delegations of Authority	<p>Continuity planning should establish pre-planned and emergency delegations of authority.</p> <ul style="list-style-type: none"> • Is there a documented delegation of authority to make policy determinations and decisions for key agency leadership positions at the HQ, regional, field, satellite, and other levels and agency locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation? • Are key agency officials informed of and trained on the agency delegations of authority so that the agency can transfer leadership authority in an orderly manner, when applicable, during a response to any emergency? • Has delegation of authority been coordinated with the appropriate legal staff to ensure legal sufficiency?
COOP-07	Continuity Facilities	<p>Continuity planning should include the identification of continuity facilities for component use during continuity threats or events. Site selection must consider ISs and networks, geographical dispersion, physical security, and maximize colocation and dual-use facilities with a focus on risk mitigation. Continuity facilities include relocation facilities as well as devolution sites.</p> <ul style="list-style-type: none"> • Are continuity facilities identified to provide survivable protection and sustain continued, endurable operations under any circumstance for a minimum of 30 days? • Can continuity facilities be fully operational within 12 hours? • Is a process established to notify and coordinate activation of the continuity location(s)? • Are the following considerations part of the continuity facility selection process? <ul style="list-style-type: none"> • Administrative support and management? • Coordination of clearances and access? • Logistics, billeting? • Alternate usages of existing facilities? • Virtual office options including telework? • Geographic dispersion? • ISs and networks? • Physical security? • Contractor support, if required? • Is equipment prepositioned at the continuity facility adequate to continue operations? • Is there a memorandum of agreement? • Do non-relocation staff members have contact information for the continuity facility? • Have critical documents (essential records) been pre-positioned?

COOP-08	Continuity Communications	<p>Continuity planning must address IT and communications support to continuity operations.</p> <ul style="list-style-type: none"> • Are the effective continuity communications systems that support mission essential connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public identified and available? • Does the plan contain information that indicates relevant communications and network connectivity at alternate operating facilities are commensurate with the execution requirements of the MEFs? Plan should identify mission-critical information and technological and communication systems, to include services, applications and Web sites that are essential to performance of organizational MEF and essential supporting activities. Plan should detail how organization responds to the effects of degradation of DoD information network capabilities. Plan is informed by component-level IS contingency plans aimed at recovery of IS services following an emergency or IS disruption. • Is there an alert and notification system or procedures in place for notifying relocation staff?
COOP-09	Essential Records Management	<p>Continuity planning must provide for the identification, storage, protection, and availability for use at relocation sites of the essential records, materiel, and databases required to execute MEFs. Pre-positioning and storage procedures should be enduring, survivable, and redundant.</p> <ul style="list-style-type: none"> • Are all essential records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event identified, maintained, survivable, and accessible from the continuity facility? • Are essential records programs and capabilities tested and updated as required? • Are continuity personnel trained and exercised on essential records access and programs?

COOP-10	Human Resources	<p>Continuity planning must include training of continuity staffs and provide orientation and awareness training.</p> <ul style="list-style-type: none"> • Are continuity leadership and staff identified? • Have continuity leadership and staff acknowledged and accepted their continuity role (e.g., through position descriptions, contract language, or other formal means)? • Has a telework policy been established? • Has an emergency relocation staff been identified? • Does the plan outline procedures for monitoring an approaching pandemic, distributing information to employees, enacting pre-pandemic mitigation strategies, as well as the decision-making process that would lead to activation of the plan?
COOP-11	TT&E Program	<p>Responsible commanders should integrate continuity-related functions and activities into operations and exercises to ensure that MEFs can be performed under all circumstances across the spectrum of threats.</p> <ul style="list-style-type: none"> • Is there a documented or commonly understood and practiced continuity testing, training, and exercise program established that demonstrates, assesses, and improves the ability to execute the continuity program, plans, and procedures and perform essential functions during all continuity events? • Is the COOP plan exercised annually? Be prepared to provide a written after action report that captures the specifics and findings of the exercise. • The after action report is to be signed by a senior tasked with oversight of continuity or the senior-most exercise participant. • Is the TT&E program supported by a corrective action program? • In the past year, has orientation and awareness training been conducted for continuity staff? • Are records of participation maintained? • Is cybersecurity incorporated into the annual continuity exercise? • Is the exercise planned in coordination with the organization's IT service providers? • Are continuity communications systems tested and updated as required? • Are these testing results identified with a corrective action plan? <p><u>Best Practice:</u> Cybersecurity may be incorporated into annual exercises in a variety of ways including, simulated system outages, denied access to essential records, and emergency relocation group discussions and table top exercises focused on cybersecurity.</p>

COOP-12	Devolution of Command and Control	<p>Continuity planning should establish devolutions of authority for essential functions and key positions.</p> <ul style="list-style-type: none"> • Is there an established devolution plan or procedures? • Do the devolution plan or procedures address personnel, planning, resource, and training considerations needed to transfer agency essential functions and leadership authorities away from the primary facility or facilities to a continuity location?
COOP-13	Reconstitution Operations	<p>Provide for reconstitution capabilities that allow for recovery from an emergency and resumption of normal operations.</p> <ul style="list-style-type: none"> • Does the COOP plan address a reconstitution plan and procedures? • Has a reconstitution manager been assigned?