



UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS COMMAND
3000 MARINE CORPS PENTAGON
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MCICOMO 3030.1

G-3/5/7

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Marine Corps Installations Command Order 3030.1

From: Commander

To: Distribution List

Subj: MARINE CORPS INSTALLATIONS COMMAND (MCICOM) CONTINUITY OF OPERATIONS
(COOP) PROGRAM

Ref: (a) National Security Presidential Directive-51/Homeland Security
Presidential Directive-20, "National Continuity Policy", May 9, 2007
(b) Federal Continuity Directive-1, "Federal Executive Branch
National Continuity Program and Requirements", February 2008
(c) Department of Defense (DOD) Directive 3020.26, "Department of
Defense Continuity Programs", January 9, 2009
(d) DOD Instruction 3020.42, "Defense Continuity Plan Development",
February 17, 2006
(e) Secretary of the Navy Instruction 3030.4C, "Department of the Navy
Continuity of Operations Program", July 22, 2009
(f) Marine Corps Order (MCO) 3030.1, "Marine Corps Continuity of
Operations Program", July 26, 2010

Encl: (1) Program Milestones
(2) COOP Program and Plan Development Checklist
(3) Definitions

1. Situation

a. It is the policy of the United States Government to maintain a comprehensive, effective continuity capability at all levels of government to meet the essential defense and domestic needs of our nation's citizens during a national emergency. Continuity of Operations (COOP) Planning is defined as an organization's ability to continue essential functions with little or no interruption during, and in the aftermath, of an emergency. In today's asymmetric threat environment, Marine Corps Installations Command (MCICOM) must plan and prepare to continue its essential functions and critical installation services under all circumstances and across the spectrum of threats; including natural disasters, technological incidents, and man-made emergencies.

b. In accordance with the references, the MCICOM COOP Program will ensure that Headquarters (HQ), Regions, and bases, and stations develop programs and plans that meet Department of Defense (DOD), Department of the Navy (DON), U.S. Marine Corps (USMC), and MCICOM continuity requirements.

c. MCICOM HQ, Regions, bases and stations are to carefully review all of their missions, functions, and services before determining those that are essential and critical. Improperly identifying or not identifying these functions and services can impair the effectiveness of the entire COOP Program. If too many functions and services are

identified as essential or critical, the command risks being unable to perform all essential functions and critical installation services during a crisis or continuity event.

2. Mission. MCICOM HQ, Regions, bases, and stations are required to develop COOP programs and plans that support the continuity of essential functions and critical services. Programs and plans are required to incorporate continuity requirements into daily operations, and develop, coordinate, validate, and maintain continuity plans. This mission will be accomplished through a comprehensive, integrated process that is synchronized within MCICOM HQ, U.S. Marine Corps COOP Plan, the respective Regions, and with appropriate military and civilian tenant organizations.

3. Execution

a. Commander's Intent. Per the references and the MCICOM mission statement, MCICOM will establish and implement a COOP program that:

- (1) Incorporates continuity planning requirements into daily operations.
- (2) Supports the HQMC COOP Program, including the Joint Emergency Evacuation Plan (JEEP).
- (3) Identifies and prioritizes the HQ's and Regions' essential functions and critical installation services; particularly those that must be performed under all circumstances to support installation tenants.
- (4) Ensures continuity-related plans and programs support the continuation of essential functions and critical installation services under all circumstances for up to 30 days or until normal operations can be resumed. Planning should also include consideration of risk management priorities including extended events (i.e.; Pandemic Events) that occur in a repetitious manner and cannot be addressed by traditional COOP responses.
- (5) Identifies specific systems, applications, and databases for information technology recovery and reconstitution operations that are compatible with the Marine Corps information and communication technology policies, including the development of formal information technology disaster recovery plans.
- (6) Meets test, training, and exercise requirements in accordance with reference (b).

b. Concept of Operations

(1) The Commander's intent will be accomplished through implementation of the milestones listed in enclosure (1) and establishment of HQ, Regional, and base, and station COOP programs and plans. Enclosure (2) provides key objectives and tasks supporting plan and program design, development, implementation, and execution. Plans must be executable with or without warning.

(2) Program implementation will be conducted in a four phase process: Readiness and Preparedness; Activation & Relocation; Continuity Operations; and Reconstitution (see enclosure (3)).

(a) Readiness and Preparedness. This phase includes the

activities, tasks, programs, and systems developed and implemented prior to an emergency and are used in support of the prevention, mitigation, response, and recovery from an all-hazards event. This phase also addresses measures to attain and maintain personal and organizational readiness for continuity operations through evaluation of existing program capabilities. This will be done by establishing goals and objectives, performing risk assessments, identifying hazards and their probability, performing vulnerability assessments, and conducting training and exercises.

(b) Activation and Relocation. This phase gives priority to critical national defense military operations. This includes relocation of leadership and Emergency Relocation Staff (ERS) personnel to a pre-identified Alternate Headquarters Site/Emergency Operations Center (AHS/EOC). Key actions include alert of the ERS, alternate site activation notifications, ERS deployment, site activation, communications and information technology startup or recovery, and potential devolution of command and control (C2).

(c) Continuity Operations. During this phase, focus is on C2 operations in support of recovery, restoration of essential functions and critical installation services. This will be accomplished via internal and external communications for coordination activities, and resource recovery to regain operational stability. Key activities include but are not limited to: sustaining functions that allow the ERS to C2, coordinating and assigning resources, accounting for and managing personnel, ERS augmentation, transportation of both material and human resources, and coordinating alternate site activities.

(d) Reconstitution. During reconstitution, focus shifts to resumption of routine military operations as installation functions and capabilities are reconstituted. Reconstitution planning normally begins at the onset of a continuity event; normally focusing on extended COOP activations longer than 30 days and redeployment back to primary locations.

(3) Throughout planning and implementation of the four phase process, MCICOM HQ, Regions, bases and stations will address the following:

(a) Program Plans and Procedures: Ensure continuity plans are responsive and executable with or without warning. Plans should reflect the capability to assume C2 from alternate facilities as soon as possible following an emergency, with a goal of 12-hours or less but no later than 24-hours following plan activation. In accordance with reference (g), Regions, bases, and stations are responsible for the management, implementation, and validation of their COOP plans and programs for all infrastructure, tenant units, and activities. In addition, plans may need to be coordinated with tenant organizations and the Service Level Training Commands within a region.

(b) Risk Management: Implement a risk management analysis methodology to ensure that appropriate operational readiness decisions consider the probability of an attack or incident, its impacts/consequences on assets, and recommended resources to be allocated in each crisis.

(c) Budgeting and Acquisition of Resources: Validate the reliability of service agreements and commitments from commercial vendors

and contractors necessary for successful installation service performance. Statements of work will need to be modified as necessary to ensure availability of contractor and vendor support personnel on a continuous basis during continuity operations. Additionally, procedures will need to be developed for emergency acquisition of resources necessary to execute essential functions and critical installation services and address contingency procurement/contracting requirements during COOP events.

(d) Functions and Installation Services: MCICOM HQ, Regions, bases, and stations are responsible for identifying their essential functions and prioritizing installation services. Commander requirements, the 39 installation services, Marine Corps Task List, and mission statements may all serve as references for developing and prioritizing this list. All functions may be important, but not all functions are critical during COOP Plan execution.

(e) Orders of Succession, Delegation of Authority, and Devolution of Control and Direction: Establish pre-planned and emergency procedures for delegations of authority, orders of succession, and devolutions of authority for essential functions and key positions.

(f) Continuity Facilities: Alternate C2 locations should be planned to provide adequate geographical dispersion, physical security, and the connectivity, hardware, software, and related infrastructure to ensure access to the communications and information systems necessary to support the coordination of installation services.

(g) Continuity Communications: Maximize the use of technological solutions to provide situational awareness and timely information to leaders in order to facilitate decision-making and issuance of orders. All necessary communication and technological needs should be identified in the plan and tested as necessary. Communications and information systems and networks must be interoperable, robust, reliable, and resilient.

(h) Vital Records Management: Identify vital records and ensure their storage, protection, and availability during a continuity event. Vital records are those documents, databases, records, references, and information systems needed to support the continuation of essential functions and critical installation services. These include those records and information systems necessary for reconstitution to normal operations after an event.

(i) Human Capital: Appointment of primary and alternate ERS and quarterly maintenance of ERS personnel rosters. Determining ERS composition involves several considerations including, but not limited to: key leadership roles, subject matter experts, special skills, continuous 24/7 staffing, and personnel that are available to deploy to alternate facilities. Procedures are to be established to provide alert/notification, evacuation, and movement of essential personnel and equipment to relocation sites. Transportation and logistics coordination requirements for movement of personnel and equipment shall be included in continuity plans. Human capital considerations shall incorporate:

1 Development and implementation of a process to communicate operational status across the command during emergencies to all civilian, military, and contractor personnel.

2 Development and implementation of a process to contact and account for all assigned personnel including family members in an emergency event. This process will include provisions for collection of a needs assessment for personnel who are disaster victims.

3 Development and implementation of a process to communicate guidance on civilian and military pay, leave, staffing, and other human resource issues to managers and personnel during any national emergency.

(j) Tests, Training, and Exercises: Develop and implement a COOP Test, Training, and Exercise (TT&E) Program that can be incorporated into a current overarching test, training, and exercise program efforts. The COOP test, training, and exercise component shall include:

1 COOP training to ensure all staff understands their roles and responsibilities during emergencies.

2 Planning for readiness of all individuals assigned to a continuity position to include and demonstrating their ability to perform C2 under any conditions from alternate operating locations.

3 Testing of alert, notification, and deployment procedures as well as operations and support requirements at designated alternate facilities. Communications and information systems necessary for C2 performance at alternate facilities will be tested on an annual basis.

4 Includes development and publication of After Action Reports (AAR) and Corrective Action Plans (CAP) following actual events and exercises with issues entered into a Lessons Learned (LL) database for resolution and incorporation into COOP Plans as appropriate.

(k) Reconstitution Operations: Develop post-event recovery and reconstitution procedures and requirements. Continuity plans shall incorporate information that will be critical to recovery and reconstitution efforts.

c. Subordinate Component Tasks

(1) MCICOM AC/S G-3/5/7

(a) Provide guidance and direction for the establishment, implementation, and execution of COOP plans and policy within MCICOM.

(b) Develop the MCICOM HQ COOP Plan, in coordination with all staff sections as an Annex to the MCICOM Emergency Operations Plan and, to provide a HQ C2 capability and ensure that delegation of authorities, devolution of control and direction, and orders of succession are clearly designated.

(c) Conduct bi-annual MCICOM HQ, Region, base, and station plan assessments and provide feedback as required.

(d) Coordinate and facilitate installation COOP exercises for leadership to provide an overall awareness of COOP Plan concepts and awareness to determine planning and execution gaps and shortfalls.

(e) Coordinate with PP&O (POC) for JEEP briefs of designated MCICOM personnel.

(2) Regions/Bases/Stations

(a) Regional Commanders are responsible for the management, implementation, and validation of COOP Plans for all their subordinate installations.

(b) Develop and coordinate Region, base, and station COOP Plans, in accordance with this guidance and the references, to provide C2 capability and ensure that prioritized essential functions and critical installation services can be resumed and recovered as soon as possible during a continuity event. The primary goal for resumption and recovery is 12-hours.

d. Coordinating Instructions

(1) Classification Guidance

(a) Plans require that information be protected that may be reasonably expected to cause damage to national security. For MCICOM HQ, Regions, bases and stations, documents are to be classified into four classification categories: For Official Use Only (FOUO), Unclassified (U), Confidential (C), and Secret (S).

(i) For Official Use Only (FOUO) classification is applied to information that has not been given a security classification pursuant to the criteria of an Executive Order, but which may need to be withheld from the public.

(ii) Unclassified (U) classification is applied to information that does not require protection against unauthorized disclosure however it may be subject to other controls or distribution limitations.

(iii) Confidential (C) classification is applied to information, the unauthorized disclosure of which reasonably could be expected to cause damage to the national security that the original classification authority is able to identify or describe.

(iv) Secret (S) classification is applied to information, the unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security.

(b) Sections or components of the plan may need to be classified individually. The overall classification of the document must represent the highest classification of all sections or components of the document. General policy guidance is unclassified. Listed below are types of information that must be classified Secret (S). Classification of information in the other three categories is left to the discretion of HQ, Regions, bases, and stations.

(i) Assets and Capabilities. Information on operational or technical capabilities that significantly impacts performance of a mission; and detailed information on DOD assets and capabilities supporting nodes of the National Military Command System, OSD, or Component relocation sites are to be classified Secret (S).

(ii) Vulnerabilities. Identification of vulnerabilities as they pertain to: risk and methodology that may identify organizational vulnerabilities; performance of continuity mission; primary communications links, nodes, or paths caused by physical attacks or electronic attacks are to be classified as Secret (S).

(iii) Systems and Networks. Detailed drawings, descriptions, diagrams, schematics, or unique configurations of communications systems and networks at the alternate site are to be classified as Secret (S).

(iv) Tests, Training, and Exercises. Information used/discussed during tests, training, and exercises that pertain to operational deficiencies or sensitive intelligence sources and methods are to be classified as Secret (S).

(2) The MCICOM AC/S G-3/5/7 is designated as the senior accountable official for management and oversight of the MCICOM COOP Program and will maintain overall responsibility for planning, policy, and implementation.

4. Administration and Logistics

a. Administration

(1) Recommendations for changes to this program should be submitted to MCICOM G-5 (Plans) via the appropriate chain-of-command.

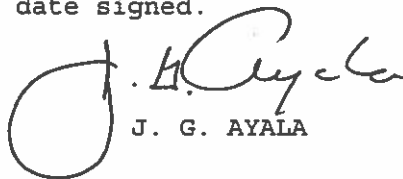
(2) Amplifying guidance for this program will be disseminated through appropriate documentation via MCICOM G-5 (Plans) as required.

b. Logistics.

5. Command and Signal

a. Command. This program guidance is applicable to MCICOM and all subordinate organizations, installations, bases, and stations.

b. Signal. Effective as of date signed.


J. G. AYALA

Distribution: B

Program Milestones

FY-2015

- MCICOM HQ's review of all installations COOP Plans. Review process will consist of:
 - Submission of all Region, base, and station COOP Plans to MCICOM G-3/5/7
 - Review and analysis of documented plans and processes in accordance with this Order
 - Feedback to Regions and installations
 - Coordination with Regions, bases, and stations for Plan updates

FY-2016

- Planning, scheduling, and facilitation of Region, bases, and stations COOP Plan Tabletop Exercises.

COOP Program and Plan Development Checklist

The following checklist is to be reviewed and used as a reference in the development of COOP Programs and Plans. This checklist provides various objectives and tasks to support an effective program. This will ensure that plans are implemented in a timely manner; personnel understand their roles and responsibilities; and essential functions, critical installation services, and command and control are restored/recovered for continuity.

This checklist is a guide and should be incorporated into COOP Programs and Plans.

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
	Designate security classification of the document (FOUO, Unclassified, etc.)		
	Follow USMC documentation formatting		
PROGRAM MANAGEMENT			
	Identify the objectives of the COOP Program (DON COOP Program SECNAV INSTRUCTION 3030.4C)		
	Designate the date for annual review		
	Develop a decision matrix to support plan implementation	When the plan should be implemented (HIGH, MEDIUM, LOW events)	
		Who has authority to implement the plan?	
		How will plan be implemented during normal duty hours and off duty hours?	
		Designate secondary and tertiary representatives to activate the COOP plan if the Commander is unable to	
	Submit plans to MCICOM and/or other installations that are a part of the COOP planning (interdependencies) process or have planning equities		

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
RISK MANAGEMENT			
	Conduct risk analysis	Identify threats, hazards, and vulnerabilities that could affect essential functions and critical installation services (natural and manmade disasters, facility risks, security risks, reputation, procedural, compliance, information technology, people, supply chain)	
		Consult with internal and external agencies in identifying risk (local and state emergency management agencies, other installations, administration and business office, leaders, etc.)	
		Identify the likelihood of the threat for each threat, hazard, or vulnerability	
		Designate severity of potential incidents in terms of LOW, MEDIUM, HIGH designations	
		Identify the potential consequences of each threat, hazard, or vulnerability	
		Prioritize threats, hazards, and vulnerabilities based on probability and severity	
	Identify various options based on priorities		Identify cost effective options (preventative and pre-planning measures, etc.)
			Coordinate with stakeholders/partners for support with each phase of the planning process
			Consider how resources will be allocated based on budget concerns
			Consider four main categories for risk management:
			<ul style="list-style-type: none"> * Avoid * Accept * Control * Transfer
	Make risk mitigation decisions		Make preliminary decisions
			Seek guidance and approval from leadership

Conducted	Objective	Tasks	Sub-Tasks
BUDGETING AND ACQUISITION OF RESOURCES			
	Identify budgeting and acquisition of resources decisions that are directly tied back to goals and objectives of the program and the essential functions and critical installation services.	Integrate resource decisions into the MCFDS process.	
	Identify costs associated with risk management decisions		
	Identify costs needed to perform essential functions and critical installation services	Identify staff/ERS/family costs	
		Identify costs to set-up and maintain continuity facilities	
		Identify costs for continuity communication needs (information technology, emergency notification systems, etc.)	
		Identify costs for annual tests, training, and exercises	
		Identify transportation costs	
	Coordinate resource needs with MCFDS		
	Coordinate budgeting and acquisition resource needs with stakeholders/partners		
	Initiate and renew contingency procurement/contracting requirements for emergency acquisition of resources		
ESSENTIAL FUNCTIONS AND CRITICAL INSTALLATION SERVICES			
	Determine essential functions and critical installation services	Any mission/task/function that is legally required or is a directive should be considered an essential function/critical installation service	
		Identify critical installation services	
		Perform analysis on installation services to determine if they are critical	List products or operations impacted if service is not performed
			Decide if service must be performed without interruption, with little interruption or requires immediate attention during a crisis event, or support an essential function of another agency/organization

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
			<p>Assess impact if service is not performed:</p> <ul style="list-style-type: none"> * Critically High * High * Medium * Low * Critically Low
			<p>Identify when the service must be performed:</p> <ul style="list-style-type: none"> * 0 hours * <12 hours * <24 hours * <30 days
		Confirm essential functions and critical installation services based on the data analysis	
	Perform process analysis to identify resources need to perform each essential function and critical installation services	Inputs - Identify all inputs required to support execution	
		Leadership - Identify all leadership members, including senior decision-makers, needed to execute this function/service	
		Staff - Identify staff to include those personnel, both senior and core personnel, and the functional support necessary to continue essential functions/services	
		Communications - Identify any communications and/or IT system resources (e.g. fixed satellite, high frequency radio, secure cellular telephone, etc) to support this function. Communications will include voice, video, and data capabilities that enable the leadership and staff to conduct the essential functions and critical installation services of the organization. These communications must provide the ability to communicate both internally and externally as needed to continue essential functions and critical installation services	

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
		<p>Facilities - Identify facilities necessary to continue the essential functions and critical installation services. Facilities include all locations where leadership and staff may operate in support of essential functions and critical installation services during a continuity event. These include existing alternate facilities; alternate usages of existing facilities; and, as appropriate, virtual office options including telework</p> <p>Resources and Budgeting - Identify the resource acquisition needs and process necessary for continuity operations on an emergency basis. Funding for continuity programs should be based on continuity requirements and prioritized appropriately within agency budget requests</p>	
ORDERS OF SUCCESSION			
	Identify key leadership positions necessary for COOP planning and execution (by position not by name)		
	Identify and update the names for each position including primary, secondary, and tertiary names		
	Update names for these positions upon every COOP plan update and as necessary if there are changes in leadership prior to COOP plan review and update		
	Include primary, secondary, and tertiary members in all COOP planning and training activities		
DELEGATION OF AUTHORITY			
	Identify specific policy decisions that are critical to COOP execution that may be transferred to another individual in the case of COOP plan activation		
	Identify key leadership functions or decisions that can be made by other individuals other than the leader in command (by position not by name)		
	Outline in a statement the authority, including any exceptions to that authority, of an official designated to exercise organization direction	<p>Delineate the limits of authority and accountability</p>	

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
		Establish the rules and procedures designated officials must follow when facing the issues of succession to office	
		Outline the authority of officials to re-delegate functions and activities, as appropriate	
		Define the circumstances under which delegation of authorities would take effect and would be terminated	
		Incorporate the conditions under which delegations will take place, the method of notification, the duration the delegations may last, conditions when the delegations may be terminated, and any temporal, geographical, or organizational limitations to the authorities granted by the orders of succession or delegations of authorities, including the ability to re-delegate authorities	
	Include all individuals that have been designated with authority status during a COOP incident are included in COOP planning and training		
CONTINUITY FACILITIES			

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
	<p>Identify alternate sites in which essential functions and critical installation services can be resumed as necessary. Devolution sites must be identified as well</p>	<p>Identify the type of alternate site:</p> <p>Hot site: Is fully ready to support all essential functions and critical installation services</p> <p>Warm site: Has some capability of supporting essential functions and critical installation services</p> <p>Cold site: Has very little to no capability to support essential functions and critical installation services. Will need to be heavily resourced.</p> <p>Suggestions for continuity facilities:</p> <ul style="list-style-type: none"> * Remote/offsite training facilities * Regional or field offices * Remote HQ operations * Space procured by another facility for continuity operations * Use of existing facilities * Telework * Mobile work 	
	<p>Ensure continuity facilities meet the necessary requirements to resume performance of essential functions and critical installation services</p>	<p>Ensure there is appropriate distance between the primary facility and the continuity facility based on the risk assessment</p>	
		<p>Ensure the site has all critical supplies and equipment pre-positioned or maintain detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification</p>	
		<p>Ensure the replication of essential capabilities by providing systems and configurations that are used in daily activities</p>	
		<p>Ensure that interoperable communications are supported, including the means for secure communications if appropriate, with all identified essential internal and external organizations, as well as with families</p>	
		<p>Ensure that computer equipment, software, and other automated data processing equipment necessary to carry out essential functions and critical installation services and that information systems are up-to-date with the latest software and system updates</p>	

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
		Ensure that essential records necessary to facilitate the performance of essential functions and critical installation services can be accessed and used	
		Ensure the capability to perform essential functions and critical installation services as soon as possible after continuity activation with minimal disruption of operations, the ability to maintain this capability for up to 30 days or until normal operations resume, and the capability to perform these essential functions and critical installation services under all threat conditions	
		Ensure that reliable logistical support, services, and infrastructure systems are provided	
		Consider the availability of essential support resources such as food, water, fuel, medical facilities, and municipal services, such as fire and police, to ensure the health, safety, and security of ERS members	
		Ensure that the site has emergency/back-up power capability so that essential functions and critical installation services can continue in the event the primary source of power is disrupted	
		Ensure that housing is provided to support the ERS at or near the continuity facilities, such as billeting within the facility, other locations, including motels, or at ERS members' homes if within commuting distance to the continuity facility	
		Define a transportation support plan that details ERS transportation to, from, and on the site	
		Ensure the provision of sufficient levels of physical and information security to protect against all threats, as identified in the facility's risk assessment and physical security surveys. This includes sufficient personnel to provide perimeter, access, and internal security, as required by organization policy	

Conducted	Objective	Tasks	Sub-Tasks
CONTINUITY COMMUNICATIONS			
	Possess, operate, and maintain, or have dedicated access to, communications capabilities at both primary operating facility and continuity facility locations, as well as mobile in-transit communications capabilities to ensure the continuation of essential functions and critical installation services. Secure and non-secure communications requirements should be incorporated, as applicable		
	Have a signed agreement with partners who share a continuity facility to ensure each has adequate access to communications resources		
	Possess interoperable and available communications capabilities in sufficient quantity and mode/media that are commensurate with responsibilities during conditions of an emergency		
	Possess communications capabilities that support the organization's senior leadership while they are in transit to continuity facilities		
	Ensure that the communications capabilities needed to perform essential functions and critical installation services are maintained and are operational as soon as possible following a continuity activation and are readily available for a period of sustained usage for up to 30 days or until normal operations can be reestablished		
	Plan accordingly for essential functions and critical installation services that require uninterrupted communications and IT support, if applicable		
	Review continuity communications annually to ensure they are fully capable of supporting essential functions and critical installation services and document the date of review and the names of personnel conducting the review		
ESSENTIAL RECORDS			
	Identify and protect those records that specify how an organization will operate in an emergency or disaster		
	Identify and protect those records necessary to continuing essential functions and critical installation services and resumption of normal operations		

Conducted	Objective	Tasks	Sub-Tasks
	Include appropriate policies, authorities, procedures and the written designation of an essential records manager		
	Incorporate essential records program into overall continuity plans		
	Develop procedures to ensure that as soon as possible after activation of continuity plans, but in all cases within 12 hours of an activation, ERS at the continuity facilities have access to the appropriate media for accessing essential records		
	Maintain a complete inventory of essential records, along with the locations of and instructions on accessing those records. This inventory must be maintained at a back-up/off-site location to ensure continuity if the primary operating facility is damaged or unavailable. Consider maintaining these inventories at a number of different sites to support continuity operations		
	Conduct an essential records and database risk assessment to:	Identify the risks involved if essential records are retained in their current locations and media, and the difficulty of reconstituting the records if destroyed Identify off-site storage locations and requirements	
		Determine if alternative storage media is available	
		Determine requirements to duplicate records and provide alternate storage locations to provide readily available essential records under all conditions	
	Organizations should develop and maintain an essential records plan packet and include a copy of the packet at the continuity facilities. An essential records plan packet is an electronic or hard copy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation		
HUMAN CAPITAL			
	Review this packet annually and document the date of the review and the names of personnel. The packet must include:	A hard or soft copy of ERS members with up-to-date telephone numbers	
		An essential records inventory with the precise locations of essential records	

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
		Necessary keys or access codes	
		Access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, internet access, and/or dedicated telephone lines)	
		Lists of records of recovery experts and vendors	
	Develop instructions on moving essential records (those that have not been prepositioned) from the primary operating facility to the alternate site and include these instructions in the continuity plan		
	Identify, document, and prepare ERS members who are capable of relocating to alternate sites to support the continuation of the performance of essential functions and critical installation services	Clearly define the expectations, roles and responsibilities of ERS members during a continuity activation	
		Establish and maintain appropriate point-of-contact rosters of trained ERS members who have the ability to perform essential functions and critical installation services	
		Update these rosters periodically and include, at a minimum, names, home, work, and cell telephone numbers	
		Ensure that ERS members are officially informed of and accept their roles and responsibilities by providing documentation to these individuals	
		Identify replacement personnel and augmentees, as necessary	
	Provide guidance to ERS members on individual preparedness measures they should take to ensure a timely and effective response to a continuity activation	Recommend the content and maintenance of drive-away kits for ERS members	
		Provide guidance to all staff in preparing, planning and staying informed during an emergency, including developing Family Emergency Plans	
		Implement a process to communicate the organization's operating status to all staff	

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
		Implement a process to contact and account for all staff, including contractors, in the event of an emergency. All staff, including contractors, must know their responsibilities to report their accountability	
		Establish procedures and provide the ability to communicate with and coordinate activities with all personnel; continuity facilities and support teams; organizations with which the affected organization interacts; and stakeholders before, during, and after a continuity event, including alert and notification	
		Communicate how, and the extent to which, employees are expected to remain in contact with their organizations during any closure situation	
		Establish and maintain procedures to provide guidance to non-ERS personnel	
		Implement a process to communicate human resources guidance for emergencies, such as pay, leave, staffing, and other human resources flexibilities, to all staff	
		Include or reference provisions and procedures for assisting all staff, especially those who are disaster survivors, with special human resources concerns following a catastrophic disaster in continuity plans	
TESTS, TRAINING, AND EXERCISES (TT&E)			
	Develop and maintain a continuity TT&E program for conducting and documenting TT&E activities that identifies the components, processes, and requirements for the training and preparedness of personnel needed to support the continuation of the performance of essential functions and critical installation services		
	Conduct annual COOP tests, training, and exercises		
	As part of the TT&E program, document all conducted TT&E events, including documenting the date of the event, those participating in the event, and the results of the event		

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
	Utilize an all-hazards approach to demonstrate the viability of continuity plans and programs		
	Train continuity personnel to demonstrate their understanding of and ability to perform their assigned roles and responsibilities through participation in their organization's continuity TT&E program		
Tests			
	Testing program must include and document:		
		Quarterly testing of alert, notification, and activation procedures for continuity personnel	
		Annual testing of recovery strategies for essential records (both classified and unclassified), critical information systems (both classified and unclassified), services, and data	
		Annual testing of the capabilities for protecting essential records and information systems (both classified and unclassified) and for providing access to them from the continuity facilities	
		Annual testing of primary and backup infrastructure systems and services, such as power, water, and fuel, at continuity facilities	
		Quarterly testing of the internal and external interoperability and viability of communications equipment and systems	
		Annual testing of the capabilities required to perform essential functions and critical installation services	
		Annual testing of internal and external interdependencies identified in the continuity plan, with respect to performance of essential functions and critical installation services and other organizations' essential functions and critical installation services	
Training			
	Annual continuity awareness briefings or other means of orientation for the entire workforce		

Conducted	Objective	Tasks	Sub-Tasks
	Annual training on the roles and responsibilities for personnel, including host or contractor personnel, who are assigned to activate, support, and sustain continuity and devolution operations		
	Annual briefings for ERS members on organization continuity and devolution plans that involve using, or relocating to, continuity facilities, existing facilities, or other work arrangements		
	Annual training for ERS members on all reconstitution plans and procedures to resume normal organization operations at the original primary operating facility or replacement primary operating facility		
	Annual training for ERS members on the activation of continuity plans, including unannounced relocation to alternate sites, and devolution of operations to devolution sites		
	Annual training for ERS members on the capabilities of communications and IT systems to be used during a continuity or devolution event		
	Annual training for ERS members regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions and critical installation services during a continuity or devolution activation		
	Annual training for ERS members on the devolution option for continuity, to address how each organization will identify and conduct its essential functions and critical installation services during an increased threat situation or in the aftermath of a catastrophic emergency		
	Annual training for leadership on that organization's essential functions and critical installation services, including training on their continuity responsibilities		
	Annual training for all personnel designated within the orders of succession for Commander or other key positions who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity activation		

<u>Conducted</u>	<u>Objective</u>	<u>Tasks</u>	<u>Sub-Tasks</u>
	Annual training for those officials listed within the delegations of authority on all pre-delegated authorities for making policy determinations and other decisions, at the headquarters, regional, installation, and other organizational levels, as appropriate		
Exercises			
	Conduct at least one continuity exercise annually		
		Demonstrate intra- and interagency communications capabilities	
		Demonstrate that backup data and records required to support essential functions and critical installation services at alternate sites are sufficient, complete, and current	
		An annual exercise that incorporates the deliberate and preplanned movement of ERS members to an alternate site	
		A comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weakness in plans and procedures and to recommend revisions to the organization's continuity plan	
		A cycle of events that incorporates evaluations, After Action Reports, and lessons learned into the development and implementation of a Corrective Action Program	
	Build a CAP to assist in documenting, prioritizing, and resourcing continuity issues across all continuity elements identified during IT&E, assessments, and emergency operations	The CAP must identify continuity deficiencies and other areas requiring improvement and provide responsibilities and a timeline for corrective action	

Definitions

Continuity Communications - robust and effective communications mechanisms that facilitate the sharing of information within the organization as well as to other agencies/organizations, the public, and families during a continuity event. These communications mechanisms must support the continuation of essential functions within 12 hours of the activation of a COOP plan. Continuity communication modes should include both secure and non-secure capability as necessary.

Continuity Facilities - facilities where essential functions can continue or resume during a continuity event. These sites include alternate sites and devolution sites.

Critical Installation Services - a prioritized subset listing of Installation Services (currently called the 39 business functions and based on the installations primary mission: must continue to be performed seamlessly in a continuity event within 12-hours of the incident and must be maintained for 30 days or until normal functions are reconstituted.

Continuity of Operations - an effort to ensure that essential functions and critical installation services can continue to be performed seamlessly in the event of an emergency to include natural disasters, man-made disasters as well as attacks to an organization's technology, facilities or security.

Delegation of Authority - provides successors with the legal authorization to act on behalf of the Commander or other key personnel for specified purposes and to carry out specific duties. Delegations of authority ensure the orderly and predefined transition of leadership responsibilities within an organization during continuity activation and are closely tied to succession.

Devolution - a situation in which an organization must transfer the responsibility of performing its essential functions when a continuity event renders the organization's leadership and ERS members unavailable or incapable of performing its essential functions from either the organization's primary operating facility or alternate sites.

Emergency Relocation Staff - individuals who are assigned responsibility to relocate to an alternate site, as required, to perform organization essential functions or other tasks related to continuity operations. Includes personnel stationed at the devolution site who are identified to conduct essential functions during activation of devolution plans.

Essential Functions - activities/tasks of an organization that must continue to be performed in a continuity event and defines mission success of the incident response and must be maintained for 30 days or until normal functions are reconstituted. (i.e.; many functions/tasks may be important, but not all are essential for mission success during the continuity event)

Installation Services - The 39 business functions of an installation and the seven Lines of Operations; including the functions and sub-functions of Marine, Family, and Community Support; Facilities Support; Installation Protection; Command and Staff Support; Installation Information Technology Services Management; Logistics Support; Training and Operations Support

Orders of Succession - a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role in the event that an