



Defense Logistics Agency **INSTRUCTION**

DLAI 3020.26
Effective February 24, 2015

Accountable Office: DLA Logistics Operations, Mission Assurance (J315)

SUBJECT: Continuity of Operations (COOP)

References: Refer to Enclosure 1

1. PURPOSE. In accordance with the authority in DoDD 3020.26 (Reference (d)), this Issuance replaces DLAI 6101 (Reference (e)) to update policy, responsibility, and procedures for developing a comprehensive DLA Enterprise COOP program.

a. COOP planning ensures applicable DLA organizations document plans to continue mission essential business processes and functions at an alternate facility, should the primary operating location experience a catastrophic event that renders it uninhabitable or otherwise unavailable. Effective COOP planning enables DLA to continue its mission essential functions (MEFs) regardless of the emergency or event.

b. The outputs of this process should comply with Federal Continuity Directive 1 (FCD1) (Reference (g)), which directs all federal agencies to develop and maintain current and viable COOP plans for their agency and subordinate organizations.

c. This instruction is the basis for the establishment of the DLA Enterprise COOP Planning Working Group (CPWG).

2. APPLICABILITY. This Instruction applies to all DLA activities.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DLA Policy to:

a. Assure COOP through a documented plan to continue mission-essential business processes and functions at an alternate facility, if necessary, should the primary operating location experience a catastrophic event that renders it uninhabitable or otherwise unavailable.

The COOP plan must address each of the COOP planning elements and adhere to the planning guidance in Reference (g).

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. See Enclosure 3.

7. INFORMATION REQUIREMENTS.

a. Monthly update to the Defense Readiness Reporting System (DRRS) on the status of the enterprise COOP program which addresses the ten critical elements of all COOP plans across the enterprise.

b. Every two years provide Deputy for Continuity and Mission Assurance a copy of the Headquarters (HQs) DLA COOP plan for review to ensure compliance with federally mandated guidance.

8. INTERNAL CONTROLS. Under the direction of the COOP Program Manager as described in Enclosure 2, there are several measures in-place to monitor the COOP program's overall effectiveness and progress with both self-assessments and higher HQs program reviews.

9. RELEASABILITY. UNLIMITED. This instruction is approved for public release and is available on the DLA Issuances Internet Website.

10. EFFECTIVE DATE, This Instruction:

a. Is effective on February 24, 2015.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DLAI 5025.01, DLA Issuance Program. If not, it will expire effective February 24, 2025 and be removed from the DLA Issuances Website.

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Enclosures

Enclosure 1 – References

Enclosure 2 – Responsibilities

Enclosure 3 – Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) Homeland Security Presidential Directive 20/National Security Directive Presidential Directive 51.
- (b) Department of Defense (DoD) Directive (DoDD) 3020.26, "Defense Continuity Programs," January 9, 2009.
- (c) DoD Instruction 3020.42, Defense Continuity Plan Development, April 27, 2011.
- (d) DoDD 3020.26, Defense Continuity Program (DCP), dated April 27, 2011
- (e) DLA 6101, Continuity of Operations (COOP), dated November 3, 2009 (hereby cancelled)
- (g) Federal Continuity Directive 1 (FCD1) Federal Executive Branch National Continuity Program, January 2013.
- (h) Presidential Policy Directive 8, *National Preparedness*, March 30, 2011.
- (i) Federal Continuity Directive 2 (FCD 2), Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process, July 2013.
- (j) Continuity of Operations Plan Template for Federal Departments and Agencies, dated April 2013.
- (k) Executive Order 13228, Establishing the Office of Homeland Security and the Homeland Security Council, October 8, 2001.
- (l) Homeland Security Presidential Directive 1, Organizations and Operations of the Homeland Security Council, October 29, 2001.
- (j) National Terrorism Alert System (NTAS) Public Guide, April 2011.
- (m) National Continuity Policy Implementation Plan, August 2007.
- (n) Federal Information System Controls Audit Manual (FISCAM), February, 2009.
- (o) National Institute of Standards and Technology, Managing Information Security Risk, NIST SP 800-39. March 2011.
- (p) Headquarters Defense Logistics Agency COOP Plan, October 2012.
- (q) DLA Records Schedule, July 2014

ENCLOSURE 2

RESPONSIBILITIES

1. The DIRECTOR, DLA must: Designate in writing, to the Under Secretary of Defense for Policy, a General Officer/Flag Officer/Senior Executive Service member as DLA Senior Accountable Official as the Component Continuity Coordinator.
2. The DIRECTOR, DLA LOGISTICS OPERATIONS (J3) under the authority, direction and control of the DLA Director must:
 - a. Appoint the Executive Director of Operations (J31) as the DLA Senior Accountable Official/Component Continuity Coordinator.
 - b. Establish Enterprise-level policy and procedures for the DLA COOP function.
 - c. Provide appropriate policy oversight to ensure compliance with such guidance.
3. The EXECUTIVE DIRECTOR, OPERATIONS (J31) under the authority, direction, and control of the DIRECTOR, DLA LOGISTICS OPERATIONS, J3 must:
 - a. Act as the DLA Senior Accountable Official/ Component Continuity Coordinator.
 - b. Assume Office of Primary Responsibility for the management and oversight of the DLA continuity program and is the single point of contact for coordination within the agency for continuity matters.
 - c. Approve and sign all changes and updates to the HQs COOP Plan.
 - d. Designate a DLA COOP Program Manager.
4. The COOP Program Manager must:
 - a. Chair a quarterly CPWG to share information with the HQs staff and the Primary Level Field Activities (PLFAs).
 - b. Monitor progress in Learning Management System COOP awareness training completion, and overall development of COOP expertise within the enterprise COOP Program.
 - c. Coordinate all COOP actions between the J3 and representatives for the DLA Information Operations (J6) Information Technology (IT) COOP Program to ensure compliance with J6 responsibilities.
 - d. Ensure HQs DLA and all organizations identified in paragraph 2 page 1 conduct a

bi-annual review of their Business Process Analysis (BPA), to re-certify their MEFs which support the bi-annual review of all COOP Plans agency wide.

e. Ensure development, coordination, and maintenance of all continuity plans, that all plans are validated for compliance with federally mandated guidelines (listed in Enclosure 1 References), and all plans are either updated, or reissued every 2 years, or more frequently, as required.

f. Oversee, guide, and ensure the continuity planning and readiness of subordinate organizations throughout the DLA Enterprise.

g. Update the DRRS on a monthly basis to validate the operating status of the enterprise COOP program.

5. The DLA COOP Program Analyst must:

a. Facilitate the development, coordination, and maintenance of the DLA HQs' COOP Plan; ensure the COOP plan is controlled according to the Security Notice, pg. iii of the COOP plan.

b. Oversee and guide to all Directors of HQs DLA J and D code organizations and their designated COOP Points of Contact (POC).

c. Ensure all DLA HQs J and D coded organization COOP POCs are identified and prioritize organizational MEFs using a BPA every two years or as required.

d. Review and validate the HQs COOP Plan for compliance with federally mandated guidelines (as listed in Enclosure 1 References). Ensure all plans are either updated, or re-issued every 2 years, or more frequently, as changes warrant.

e. Monitor progress in COOP awareness training completion and overall development of COOP expertise within the enterprise COOP Program Members.

6. The DLA COOP Enterprise Administrator must:

a. Oversee and guide all subordinate organizations (PLFAs) and Outside the continental United States (OCONUS) DLA HQs, the Commander's and their designated COOP Program Managers identified in 2(c) (d).

b. Ensure PLFA Commanders, OCONUS DLA HQs and their respective COOP Program managers are fully briefed on the HQs DLA Enterprise COOP program.

c. Review and provide comments on all PLFA and OCONUS COOP Plans to ensure compliance with federally mandated guidance listed in Enclosure 1 References.

d. Monitor the Test, Training and Evaluation (TT & E) programs of all PLFAs and OCONUS DLA HQs.

7. The HQs DIRECTORS AND DIRECTOR'S STAFF must:

- a. Appoint in writing a POC to represent their Directorate on the CPWG to J31.
- b. Identify and prioritize their mission essential business processes and functions validated through the BPA IAW the guidelines in FCD2.
- c. Establish alternate facility staffing and resource requirements for their J/D code in accordance with the COOP plan.
- d. Identify mission critical data and information systems necessary to perform MEF of their J/D code.
- e. Integrate and coordinate with other supporting DLA activities as necessary.

8. The DIRECTORS/COMMANDERS of PLFAs and OCONUS HQs in DLA Europe/Africa, DLA Central, and DLA Pacific must:

- a. Appoint in writing a POC who will develop, coordinate and maintain their COOP plan according to federally mandated guidance (listed in Enclosure 1 References) and represent their organization on the CPWG to J31.
- b. Identify and prioritize mission essential business processes and functions validated through the BPA.
- c. Establish alternate facility staffing and resource requirements for their organization.
- d. Identify mission critical data and information systems necessary to perform mission essential functions to include coordinating these requirements with the J6 representative at their location for data recovery planning.
- e. Approve and sign all changes and updates to their COOP plan prior to submitting to HQ DLA for review.
- f. Provide J31 a copy of their COOP Plan for compliance review with federally mandated guidelines (listed in Enclosure 1 References) every two years or when updated.

9. J6 COOP Program Manager must:

- a. Represent the J6 on the CPWG chaired by the COOP Program Manager.
- b. Establish policy and oversight for Disaster Recovery/COOP processes that best supports the HQs COOP Strategy and ensures the continuation of DLA's MEF.

c. Ensure all IT COOP plans are fully compliant with federally mandated guidance, and the Federal Information Systems Control Audit Manual.

d. Ensure all PLFA and DLA HQs business continuity planners establish MEF and the IT COOP Team implements the plan based on established priorities such as the Mission Assurance Category (MAC) levels, the Recovery Time Objective and Recovery Point Objective (RPO) (see Glossary/Definitions).

e. Ensure PFLA and DLA HQs IT COOP planners collaborate regularly with their counter parts locally in order to function as a single cohesive unit with a common set of goals throughout the COOP planning process.

ENCLOSURE 3

PROCEDURES

1. Identify and validate COOP Emergency Relocation Group (ERG) personnel roster, including primary and alternate COOP personnel. All applicable DLA organizations must ensure their COOP recall procedures are current and tested annually in accordance with their COOP plan and FCD 1.
2. Resolution of human capital issues and concerns. All applicable DLA organizations must designate emergency essential employees, and other special categories of employees; dismissal or closure procedures; Office of Personnel Management and media announcements on government operating status; status of non-emergency employees and non-special categories of employees; sample Agency guidelines for communicating to employees; methods of employee communications; employee awareness of changes in building operations; pay flexibilities; benefit issues; and employee roles and responsibilities.
3. Continuity facilities. All applicable DLA organizations must designate alternate operating facilities that provide immediate capability to perform essential functions, provide sufficient space, interoperable communications, office automation and information systems, and logistical support for a period up to 30 days. Further guidance is available in Annex G of FCD 1, Federal Executive Branch COOP, describes the criteria to select and acquire alternate facilities.
4. Determination of Delegation of Authority. All applicable DLA organizations must pre-delegate authorities for making policy determinations and decisions; indicate the circumstances under which delegated authorities would become effective, the scope of the delegated authority and when they would terminate; and ensure that the officials are trained to carry out their emergency duties.
5. Establishment of Order of Succession. All applicable DLA organizations must establish and maintain Orders of Succession to key leadership positions, by position title, in case of a threat to the DLA organization's leadership. The Order of Succession list will be reviewed and updated annually.
6. Identification of communications/critical information systems. All applicable DLA organizations must ensure that the alternate facility provides communications and systems capability to support MEF, and the ability to communicate with the appropriate COOP personnel at the alternate facility.
7. Essential Records Management. All applicable DLA organizations must ensure that vital files, records, and databases such as emergency operating records, emergency plans, orders of succession, delegations of authority, emergency staffing assignments, and legal and financial records are protected and readily available at the alternate facility. Further guidance is available in reference (q) and Annex I of FCD 1.

8. Establishment of devolution procedures. Devolution addresses catastrophic or other disasters which render the primary operating location along with its leadership and staff from performing the MEF. The organization's MEF are devolved or transferred to another organization to be performed by a Devolution Emergency Relocation Group. All applicable DLA organizations identified on page 1 paragraph 2 must establish devolution procedures in order to address how an agency will identify and conduct its essential functions in the aftermath of a catastrophic emergency.

9. Development of reconstitution plans and procedures. All applicable DLA organizations must develop reconstitution plans and procedures to procure a new operation site once an organization suffers a facility loss or in the event that collateral damage from a disaster renders the structure unsafe for reoccupation. Further guidance is available in Annex M of FCD 1.

10. Development and implementation of a COOP TT&E program. All applicable DLA organizations identified on page 1 paragraph 2 must test, train, and exercise their COOP Plans in accordance with FCD 1. At a minimum, these organizations will test their alert, notification, and activation procedures annually; conduct COOP awareness and Team training annually; and exercise COOP Plans and procedures annually, or sooner as required. An effective TT&E plan ensures that staff, systems, equipment, and facilities are maintained in a constant state of readiness.

11. Development of operational procedures. All applicable DLA organizations must include operational procedures in their COOP Plan to ensure a viable COOP capability. The operational procedures will include a well-defined description of the four phase COOP planning process (see Appendix 1), detailed notification procedures, directions to and responsibilities at the alternate facilities, options of alternate transportation, and procedures for non-COOP employees, and an alternate site reception plan. The DLA Enterprise Process Flow is described in Appendix 2. On an annual basis, organizations will review existing plans and procedures, and update as appropriate to ensure that plans are current and executable.

12. Development of cost tracking procedures during a COOP event. All applicable DLA organizations must develop procedures for tracking expenditures during a COOP event.

APPENDIX 1 TO ENCLOSURE 3

COOP PLANNING PROCESS

Defense Logistics Agency Narrative

End To End Process: Logistics Operations Business

Process: COOP

Process Owner: Director of Logistics Operations (J3)

Lead Office: HQ, J31 Office

Assisting Offices: DLA Strategic Plans and Policy (J5)

References: Federal Continuity Directive 1 (FCD 1), dated October 2012, Presidential Policy Directive 8, dated April 2011, National Continuity Policy Implementation Plan, August 2007, DOD 3020.26 Defense Continuity Program (DCP), dated April 27, 2011.

Date Reviewed: June 3, 2014

1. PHASE I: READINESS AND PREPAREDNESS

a. STEP I: Initiate the Continuity Planning Process: Build a continuity planning team that includes key stakeholders and representatives from each involved department to include:

- (1) Agency Leadership and Business and Functional Management
- (2) Information Technology
- (3) Human Resources(Reference FCD2 Annex E)
- (4) Facilities Management
- (5) Procurement and Acquisition
- (6) Public Information
- (7) Legal
- (8) Security

b. STEP 2: Determine and Prioritize Essential Functions based on a BPA: Essential Functions are the critical activities performed by organizations. Categories of Essential Functions:

(1) National Essential Functions (NEFs): The eight functions which represent the overarching responsibilities of the Federal Government to lead and sustain the Nation during a catastrophic emergency.

(2) Primary Mission Essential Functions: Government functions that support or implement the performance of NEFs before, during, and in the aftermath of an emergency.

(3) MEFs are functions that need to be continuous or resumed within 12 hours after a disruption of normal activities.

(4) Prioritizing the essential functions helps focus on the key issues to be addressed. Prioritizing should be based on: availability of financial resources, consequences due to lack of continued performance, and time criticality of the function.

c. STEP 3: Conduct a Risk Analysis (IAW FCD1 Annex B and NIST SP 800-39)

(1) Comparing the risks of identified hazards enables planners to focus on the hazards that present the highest risk first.

(2) Factors to consider when comparing hazards are the frequency of occurrence, potential magnitude and intensity, probable spatial extent and duration, and speed of onset.

d. STEP 4: CONTROL 1 (Approval/Signature): Issue memorandum to initiate continuity planning process across organization. Design and Build the Continuity Plan IAW guidance contained in FCD 1 and 2 and the COOP Template for Federal Departments and Agencies

e. STEP 5: Test, Train, and Exercise the Plan IAW FCD 1 Annex K

(1) Test alert and notification procedures yearly because of changes in personnel.

(2) Bi-annually relocate to alternate facilities

f. STEP 6: Distribute, maintain, and update the Plan

(1) Maintain procedures, equipment, systems, personnel, and rosters

(2) Coordinate among related plans, such as Emergency Operations Plans and Continuity of Government plans.

(3) Update plan on a bi-annual basis or as required.

2. PHASE II: ACTIVATION AND RELOCATION

a. STEP 1: DLA Director or designated representative based on advice from Crisis Management Team (CMT) must distinguish between emergencies that result in short- or long-term unavailability. Emergencies with severe impact, such as category 4 hurricanes causing extensive and long-term damage to a facility might require activation of the COOP plan.

b. STEP 2: CONTROL

(1) Commander/Director or designated representative will activate COOP plan in part or whole, depending on the disruption or threat.

(2) In the event employees must evacuate a department for a day or two, implement the communications component of a COOP plan and IT recovery of data and systems.

(3) Alternatively, an organization's HQs might be destroyed, and require execution of the COOP plan in full.

c. STEP 3: Notify ERG.

d. STEP 4: Activation and relocation to alternate facility (covers the initial 12-hour period). During activation organizations should follow the guidance in FCD1.

e. STEP 5: Relocation procedures will include: (reference HQs DLA COOP Plan Annex G)

3. PHASE III: CONTINUITY OPERATIONS

a. STEP 1: Account for everyone (ERG and non-ERG personnel). (The COOP phase covers twelve (12) hours to up to thirty (30) days.)

b. STEP 2: Reception and in-processing of ERG personnel.

c. STEP 3: Activate procedures and processes; establish operations.

d. STEP 4: Sustain operations and execute MEFs.

(1) Allow for flexibility to expand, alter, or redirect operations as required.

(2) If expanding operations, consider the changes in personnel needs and stress levels. In some situations, Critical Incident Stress Debriefings (CISD) may be required.

(3) The health and safety of deployed personnel should also be covered. Personnel should have access to medication and medical assistance, and transportation to and from

accommodation. The work environment must also be able to preserve the well-being of personnel, with adequate heating, ventilation and air conditioning.

(4) The facility must have security to ensure deployed personnel remain protected.

e. STEP 5: Initiate planning for redeployment.

4. PHASE IV: RECONSTITUTION

a. STEP 1: Notify all personnel that the threat no longer exists and how, where and when to resume normal operations.

b. STEP 2: Assess the status of affected facilities and overseeing repairs or acquisition of a new facility.

c. STEP 3: Supervise the transition of operations to restored or new facilities.

d. STEP 4: Verify all systems communications and resources are available and are in a condition to resume all functions.

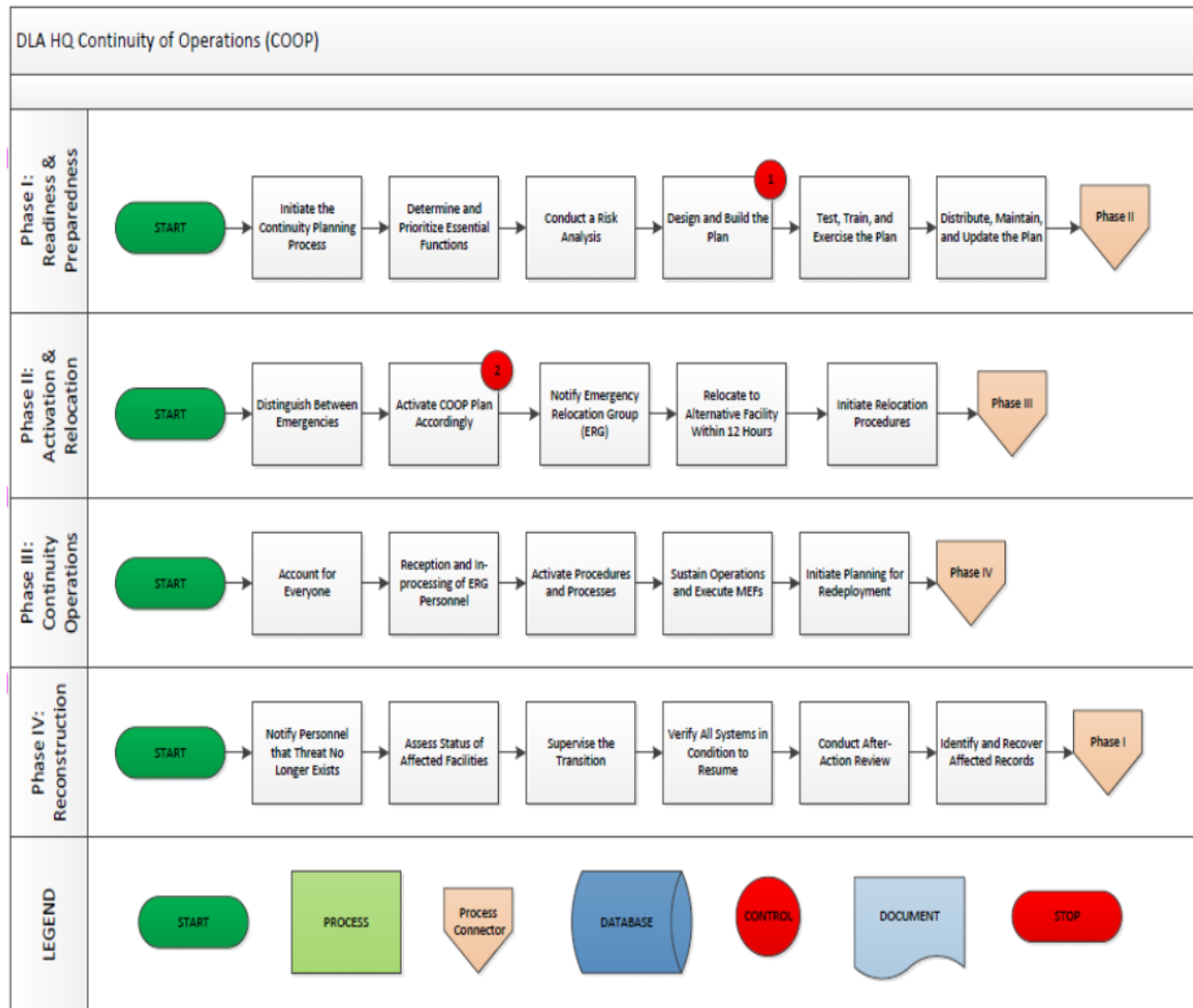
e. STEP 5: Conduct an after-action review to assess the effectiveness of COOP Plans and Procedures, and apply information from lessons learned into corrective action as soon as possible.

f. STEP 6: Identify which (if any) records were affected by the emergency, and working towards recovering all records.

APPENDIX 2 TO ENCLOSURE 3

DLA COOP ENTERPRISE PROCESS FLOW

DLA COOP Enterprise Process Flow Description: DLA COOP personnel must follow this process flow for COOP. The steps in the development of an organizations COOP Program are illustrated below. For more information and details on this COOP flow process please refer to COOP process listed in Appendix 1.



GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

BPA	Business Process Analysis
COOP	Continuity of Operations
CONUS	Continental United States
CPWG	COOP Working Group
DLA	Defense Logistics Agency
DLAI	DLA Issuance
DRRS	Defense Readiness Reporting System
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
MEF	Mission Essential Functions
MAC	Mission Assurance Categories
NEF	National Essential Functions
OCONUS	Outside the continental United States
PLFA	Primary Level Field Activity
RPO	Recovery Point Objective
TT & E	Test Training and Exercise

PART II. DEFINITIONS

Alternate Facility: A facility other than the primary facility, to which designated personnel move to continue essential DLA functions in the event the primary facility is threatened or incapacitated.

Continuity Communications: Alternate communications that provide the capability to perform minimally essential department or agency functions, in conjunction with other agencies, until normal operations can be resumed.

COOP: The activities of individual departments, agencies, and their sub-components to ensure that their essential functions are performed.

COOP Plan: An action plan that provides for the uninterrupted execution of the MEFs of an organization in the event an emergency prevents occupancy of its primary operating facility.

Devolution: The process of another agency assuming responsibility and performing the MEFs of an organization that is no longer capable of performing those functions because the agency's leadership, staff, and/or primary and alternate facilities are no longer available.

Drive-Away Kit: A prepared kit (business and personal) that contains business/personal items needed by the COOP team member during COOP Plan activation. These kits may be pre-positioned at the alternate facility or kept with the organization or COOP team member, and transported when the COOP Plan is activated and the COOP team relocates to the alternate facility.

Essential Records: Material (electronic and hard copy) needed to support MEFs during a COOP situation. At a minimum, the types of records to support the performance of MEFs will include emergency operating records, and legal and financial records.

Mission Assurance Categories (MAC levels): MAC levels convey business or military information operational significance from the availability and integrity standpoint so that personnel understand how important each information piece is to organizational objectives. There are three (3) MAC levels.

a. MAC I: must always be available with uncompromised integrity. Business or mission objectives cannot be accomplished if MAC I information integrity or availability is compromised.

b. MAC II: category must have high integrity and availability. The ability to meet business or mission objectives can be seriously hampered if MAC II categorized information is unavailable or cannot be trusted.

c. MAC III: category to information required for everyday business or military operations. MAC III information is considered necessary but compromise of availability or integrity does not immediately jeopardize business or military objectives.

Mission Essential Functions: Business functions that must continue with minimal disruption or cannot be interrupted for more than 12 hours without compromising the organization's ability to perform its mission.

Primary Facility: The site of normal, day-to-day operations; the location where the employee usually goes to work.

Reconstitution: The process of transitioning from COOP status to an efficient normal-operations status once a threat or disruption has passed. Reconstitution will either focus on returning to the restored primary operating facility or a new facility, depending on circumstances.

Recovery Point Objective (RPO): The age of files that must be recovered from backup storage for normal operations to resume if a computer, system, or network goes down as a result of a hardware, program, or communications failure. The RPO is expressed backward in time (that is, into the past) from the instant at which the failure occurs, and can be specified in seconds, minutes, hours, or days.

Recovery Time Objective: The maximum tolerable length of time that a computer, system, network, or application can be down after a failure or disaster occurs.

Relocation: The movement of a team from a specified location to an alternate facility.

Test Training and Exercise (TT&E): Activities executed for the purpose of assessing, demonstrating, and improving the ability of organizations to execute their COOP plans and programs. Annex K of FCD 1 provides further guidance.