



Defense Health Agency

ADMINISTRATIVE INSTRUCTION

NUMBER 104
June 18, 2019

AD-CA

SUBJECT: Continuity Program

References: See Enclosure 1.

1. PURPOSE. This Defense Health Agency-Administrative Instruction (DHA-AI), based on the authority of References (a) and (b), and in accordance with the guidance of References (c) through (n), establishes the Defense Health Agency's (DHA) continuity program and planning guidance to ensure the effective continuation of DHA mission-essential functions (MEFs) under all circumstances.
2. APPLICABILITY. This DHA-AI applies to all DHA personnel to include: assigned, attached, or detailed Service members, federal civilians, contractors (when required by the terms of the applicable contract), and other personnel assigned temporary or permanent duties at DHA, to include DHA offices within the Defense Health Headquarters or outside the Defense Health Headquarters (hereafter referred to as Offsite Components), Markets, and military medical treatment facilities (MTFs) (hereafter collectively referred to as DHA Components). MTFs with Defense Medical Information System (DMIS) Identifiers (IDs) the same as their DMIS Parent ID are hereafter referred to as DMIS Parent MTFs. All MTFs reporting data through a DMIS Parent ID are hereafter referred to as Reporting MTFs.
3. POLICY IMPLEMENTATION. DHA Components will ensure the effective continuation of DoD continuity policy in accordance with References (d) through (k).
4. RESPONSIBILITIES. See Enclosure 2.
5. PROCEDURES. See Enclosure 3.


6. RELEASABILITY. **Not cleared for public release**. This DHA-AI is available to users with Common Access Card authorization on the DHA SharePoint site at: <https://info.health.mil/cos/admin/pubs/SitePages/Home.aspx>.

7. EFFECTIVE DATE. This DHA-AI:

a. Is effective upon signature.

b. Will expire 10 years from the date of signature if it has not been reissued or cancelled before this date in accordance with DHA-Procedural Instruction 5025.01 (Reference (c)).

8. FORM. DHA Form 102, "Business Process Analysis," is available electronically from https://info.health.mil/cos/admin/DHA_Forms_Management/Lists/DHA%20Forms%20Management/AllItems.aspx.



R. C. BONO
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Director

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5136.01, "Assistant Secretary of Defense for Health Affairs (ASD(HA)),¹" September 30, 2013, as amended
- (b) DoD Directive 5136.13, "Defense Health Agency (DHA)," September 30, 2013
- (c) DHA-Procedural Instruction 5025.01, "Publication System," August 24, 2018
- (d) DoD Directive 3020.26, "DoD Continuity Policy," February 14, 2018
- (e) Deputy Secretary of Defense Memorandum, "Implementing Congressional Direction for Reform of the Military Health System," September 28, 2018
- (f) Under Secretary of Defense for Personnel and Readiness Memorandum, "Authorities and Responsibilities of Military Treatment Facility Leaders, Service Leaders and the Military Medical Departments," February 21, 2018
- (g) Director, Defense Health Agency Memorandum, "Delegation of Authority and Assignment of Responsibility for Administration and Management of Selected Military Treatment Facilities for Fiscal Year 2019," October 1, 2018
- (h) Director, Defense Health Agency Decision Paper, "Validating Defense Health Agency Mission-Essential Functions," May 11, 2018
- (i) Continuity of Operations Plan for Defense Health Agency Offices Located in the Defense Health Headquarters, September 28, 2018
- (j) Director, Defense Health Agency Memorandum, "Appointment of the Defense Health Agency Continuity Coordinator and Continuity Program Manager," August 15, 2018
- (k) Office of the Assistant Secretary for Defense (Homeland Defense), (FOUO) "Defense Continuity Program (DCP) Security Classification Guide," December 15, 2005
- (l) e-CFR 2018, 41 CFR Part 102-74—Facility Management¹
- (m) DMIS Data Dictionary, September, 2018³
- (n) Department of Defense Mission Essential Functions (MEFs) Volume 1, "Departmental MEF/PMEF Narratives," February 18, 2010

¹ References (e) through (l), and (n), can be found at one of the following websites:

https://info.health.mil/hco/fusion/plans/Documents/Forms/AllItems.aspx?RootFolder=%2Fhco%2Ffusion%2Fplans%2FDocuments%2F%28FOUO%29COOP%2F%28FOUO%29COOP_References%2FAI%20104%20Continuity%20Program%20References&FolderCTID=0x0120003F20A14D5E995E498ABE970241ED7B54&View=%2FBED506A55-312D-44E1-BDCF-6887A73C44A2%7D&InitialTabId=Ribbon%2EDocument&VisibilityContext=WSSTabPersistence

<https://intelshare.intelink.sgov.gov/sites/dha-j3-5/layouts/15/start.aspx#/sitepages/COUPS.aspx?routefolder=%2fsites%2fdha%2dj3%2d5%2fsouthcom%5fvenezuela%2ccoop%20references&folderctid=0x0120001f6b0171b8f7e64b92bf7a429d10f08b&view=%2b18b55d2c%2dba2b%2d4b79%2da019%2de96c3121e9c9%7d>

³ This reference can be found at: <https://www.health.mil/Military-Health-Topics/Technology/Support-Areas/Geographic-Reference-Information/DMIS-ID-Tables>

ENCLOSURE 2
RESPONSIBILITIES

1. DIRECTOR, DHA. The Director, DHA, in accordance with Reference (d), will:
 - a. Develop, coordinate, and maintain a DHA continuity program.
 - b. Designate in writing a senior official as the DHA continuity coordinator.
 - c. Designate in writing a DHA continuity program manager (CPM).
 - d. Annually, in November of each year, certify in writing through the Deputy Assistant Secretary of Defense for Defense Continuity and Mission Assurance, approval of DHA Continuity Plan to the DoD Continuity Coordinator the DHA continuity program and plan, and any organizations over which he/she exercises authority, direction, and control, satisfy the requirements of Reference (d).

2. DHA ASSISTANT DIRECTORS (ADs). The DHA ADs will:
 - a. Annually, prior to July 31, or more often as required, conduct a business process analysis (BPA) of their respective front office to identify tasks, personnel, equipment, and documents required at a minimum to support the DHA's MEFs.
 - b. Maintain and provide the DHA CPM a succession list consisting of a total of three successors; two local and one outside the National Capital Region
 - c. Leverage existing geographic dispersion of leadership, staff, and infrastructure to increase survivability and the ability to devolve in order to maintain MEFs.

3. AD-COMBAT SUPPORT (CS). In addition to the responsibilities in paragraph 1.b., the AD-CS serves as the DHA Continuity Coordinator in accordance with Reference (d), and Reference (j).
 - a. The DHA continuity coordinator reports directly to the Director, DHA, for management oversight of the DHA continuity program.
 - b. The DHA continuity program coordinator is the primary point of contact within the DHA for continuity matters.

4. DHA DEPUTY ASSISTANT DIRECTORS (DADs). The DHA DADs will:

- a. Annually, prior to July 31, or more often as required, conduct a BPA of their respective Directorate's front office to identify tasks, personnel, equipment, and documents required at a minimum to support the DHA's MEFs.
- b. Maintain and provide the DHA CPM a succession list that consists of a minimum of two local successors and one successor located outside the National Capital Region.
- c. Leverage existing geographic dispersion of leadership, staff, and infrastructure to increase survivability and the ability to devolve in order to maintain MEFs.
- d. Ensure each division, including Offsite Components, within their respective Directorate annually, or more often as required, conduct a BPA to determine what, if any, tasks, personnel, equipment, and documents are required at a minimum to support the DHA's MEFs.
- e. Ensure all personnel identified as performing tasks directly supporting DHA's MEFs:
 - (1) Are identified in their Position Description.
 - (2) Have a current, verified telework agreement in place.

5. DAD/INFORMATION OPERATIONS (IO). In addition to the responsibilities found in paragraph 1.c., the DAD/IO will ensure Information Technology supporting the performance of MEFs is robust, reliable, and resilient during cyber degradation in accordance with Reference (d).

6. DHA CONTINUITY PROGRAM MANAGER (CPM)

- a. Reports directly to the DHA continuity coordinator for daily management of the DHA continuity program.
- b. Serves as the alternate point of contact within the DHA for continuity matters.

7. DHA OFFSITE COMPONENT'S DESIGNATED OFFICIAL. In addition to the responsibilities for facility management found in Reference (1), the designated officials will ensure all DHA tenants in their facilities develop a continuity plan using the DHA Offsite Component continuity of operations (COOP) plan template. The DHA Offsite Component's designated official will:

- a. Conduct a BPA to determine what, if any, tasks, personnel, equipment, and documents are required at a minimum to support the DHA's MEFs.

- b. Develop plans for performing MEF supporting tasks during crisis events.
- c. Leverage telework and devolution to the planning process.
- d. Identify, equip, and train individuals performing the MEF supporting tasks.
- e. Inform the DHA CPM about any changes in the site continuity plan.
- f. Inform the DHA CPM of any activation of the site continuity plan.

8. MARKET COMMANDER/DIRECTOR. The Market Commander/Director will:

a. Develop, coordinate, and maintain the Market's continuity plan and ensure it supports the DHA MEFs.

b. Appoint a Market CPM with the following minimum qualifications:

(1) Completed all Independent Study courses required for possession of Federal Emergency Management Agency (FEMA) Level I Professional Continuity Practitioner certification.

(2) Attain and maintain a SECRET security clearance.

9. MARKET CPM. The Market CPM will:

a. Coordinate information flow between the DHA CPM and the MTF CPMs.

b. Maintain oversight for associated DMIS Parent MTFs' and Reporting MTFs' continuity programs.

c. Provide the DHA CPM, an annual report no later than (NLT) September 30, on the status of the IO's and subordinate MTFs' continuity programs.

10. MTF COMMANDER/DIRECTOR. The MTF Commander/Director will:

a. Appoint an MTF CPM with the following minimum qualifications:

(1) Completed all Independent Study courses required for possession of FEMA Level I Professional Continuity Practitioner certification.

(2) Attain and maintain a SECRET security clearance.

b. Ensure the MTF's continuity program includes any task required to support the DHA MEFs.

11. DMIS PARENT MTF CPM. The DMIS Parent MTF CPM will:

- a. Annually, or more often as required, conduct a BPA of their MTF to identify tasks, personnel, equipment, and documents required at a minimum to support the DHA's MEFs in addition to their MTF's current MEFs.
- b. Coordinate information flow between the Market CPM and any Reporting MTF CPM.
- c. Maintain oversight of the MTF and any Reporting MTF's continuity programs.
- d. Provide the IO CPM an annual report on the status of the MTF and any Reporting MTF's continuity programs.

12. REPORTING MTF COMMANDER/DIRECTOR. The Reporting MTF Commander/Director will:

- a. Appoint an MTF CPM with the following minimum qualifications:
 - (1) Completed all Independent Study courses required for possession of FEMA Level I Professional Continuity Practitioner certification.
 - (2) SECRET Security Clearance.
- b. Ensure the MTF's continuity program includes any task required to support the DHA MEFs.

13. REPORTING MTF CPM. The Reporting MTF CPM will:

- a. Annually, or more often as required, conduct a BPA of their MTF to identify tasks, personnel, equipment, and documents required at a minimum to support the DHA's MEFs in addition to their MTF's current MEFs.
- b. Maintain oversight of the MTF and any subordinate MTF's continuity programs.
- c. Provide the DMIS Parent MTF CPM an annual report on the status of the Reporting MTF's continuity program.

ENCLOSURE 3

PROCEDURES

1. MEFs. The DHA continuity program is based upon its MEFs in accordance with Reference (d). The DHA MEFs were derived from the MEFs assigned to the Office of the Assistant Secretary of Defense for Health Affairs per Volume 1 of Reference (n). Annually, the Director, DHA, validates the MEFs in accordance with Reference (d), and Reference (h). In addition to any support responsibilities a Market or MTF may have due to its status as a tenant organization on a military installation, each Market and MTF must also consider how it supports the DHA MEFs. Each Reporting MTF must also consider how it supports the MEFs of its DMIS parent ID MTF. The DHA MEFs are:

a. DHA MEF #1. Provide CS Agency support to echelons at the Combatant Command level and below.

b. DHA MEF #2. Execute policy, specified to the DHA, involving medical services and support to members of the Armed Forces supporting current and/or emerging military operations.

c. DHA MEF #3. Execute policy, specified to the DHA, involving medical services and support to members of the Armed Forces (including the Wounded, Ill, and Injured), their family members, and others entitled to DoD medical care.

d. DHA MEF #4. Execute policy, specified to the DHA, involving domestic emergency response including fulfillment of DoD's medical/public health support responsibilities under National Response Framework Emergency Support Function-8.

2. CLASSIFICATION CONSIDERATIONS. MEFs, in and of themselves, are not classified. However, linking specific supporting tasks, personnel, equipment, vital records, and relocation facilities to MEFs creates a conversation, document, or email that can be classified at least SECRET in accordance with Reference (k). Care must be taken to prevent creating a security violation or a classified leakage incident (CLI) while undertaking continuity planning or reporting. If in doubt, use secure locations and channels to prevent CLI. If a suspected CLI occurs, report it immediately to the local security manager.

3. DHA FORM 102, BUSINESS PROCESS ANALYSES

a. The DHA CPM will distribute DHA Form 102 to all DHA Components annually. The completion of this form is critical in identifying supporting tasks the DHA MEFs may perform. DHA Form 102 will also help identify who and what is needed to accomplish those tasks as well as what other DHA Component can accomplish the task in the event primary facilities or people are no longer available. If the form is completed and transmitted on the Non-classified Internet Protocol Router Network, great care must be taken to not identify a particular DHA Component.

MEF is being supported in order to prevent a security violation. If the form is completed and transmitted on the Secret Internet Protocol Router Network, the chance of a CLI is greatly reduced.

b. DHA Offsite Components, as well as the Market and MTFs, are not required to submit completed BPAs to the DHA CPM. The BPAs are meant to be used by all CPMs in order to write and update the local COOP plan.

c. A BPA must be performed at least annually, as well as any time there is a change in organization, leadership, personnel, or other significant event requiring a change in the local COOP plan.

d. The current BPA can be found online at:
https://info.health.mil/cos/admin/DHA_Forms_Management/Lists/DHA%20Forms%20Management/AllItems.aspx.

4. COOP PLAN

a. All DHA Offsite Components, Markets, and MTFs identifying supporting tasks for the DHA MEFs must develop a COOP plan using the DHA Offsite Component COOP Plan template at:[https://info.health.mil/hco/j35/J35%20Resource%20Library/Continuity%20Templates/\(U\)_DHA_Offsite_Component_COOP_Plan_Template.docx?Web=1](https://info.health.mil/hco/j35/J35%20Resource%20Library/Continuity%20Templates/(U)_DHA_Offsite_Component_COOP_Plan_Template.docx?Web=1).

b. DMIS Parent MTFs and Reporting MTFs may add how they will support the DHA MEFs to their existing COOP plans. Alternatively, they may choose to use the DHA Offsite Component COOP Plan template.

c. All DHA Component COOP plans must be classified SECRET in accordance with Reference (k).

d. All DHA Component COOP plans must follow the guidance found in paragraph 2.13. of Reference (d).

e. All DHA Component COOP plans must be reviewed annually, prior to July 31.

5. CONTINUITY EXERCISES

a. All DHA Components will participate in annual tests or exercises, or as otherwise directed, of their COOP plan, including supporting resources to evaluate and validate program and plan readiness, and to document findings in a corrective action program in accordance with Reference (d).

b. All DHA Component CPMs will report completed exercise dates to the next highest level of CPM.

6. CONTINUITY REPORTING

a. Reporting MTFs CPMs will submit an annual letter, NLT September 1, to their respective DMIS Parent MTF CPM stating:

- (1) Whether or not the reporting MTF's COOP Plan is in compliance with Reference (d).
- (2) The date the Reporting MTF's COOP Plan was reviewed.
- (3) The date(s) the Reporting MTF participated in a continuity exercise.

b. DMIS Parent MTFs CPMs will submit an annual letter, NLT September 15, to their respective Market CPM stating:

- (1) Whether or not the DMIS Parent MTF's COOP plan is in compliance with Reference (d).
- (2) The date the DMIS Parent MTF's COOP plan was reviewed.
- (3) The date(s) the DMIS Parent MTF participated in a continuity exercise.
- (4) A spreadsheet with the corresponding information of all, if any, Reporting MTFs' continuity program(s).

c. Market CPMs will submit an annual letter, NLT September 30, to the DHA CPM stating:

- (1) Whether or not the Market's COOP Plan is in compliance with Reference (d).
- (2) The date the Market's COOP plan was reviewed.
- (3) The date(s) the Market participated in a continuity exercise.
- (4) A spreadsheet with the corresponding information of all, if any, DMIS Parent MTFs and Reporting MTFs' continuity program(s).

d. All the reported data is required for an annual certification letter from the Director, DHA, to the Under Secretary of Defense for Policy on the status of the DHA continuity program in accordance with paragraph 2.13.j. of Reference (d).

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AD	Assistant Director
BPA	business process analysis
CLI	classified leakage incident
COOP	continuity of operations
CPM	continuity program manager
CS	combat support
DAD	Deputy Assistant Director
DHA	Defense Health Agency
DHA-AI	Defense Health Agency-Administrative Instruction
DMIS	Defense Medical Information System
FEMA	Federal Emergency Management Agency
ID	Identifier
IO	Information Operations
MEF	mission-essential function
MTF	military medical treatment facility
NLT	no later than
PMEF	primary mission-essential function

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this DHA-AI.

Designated Official. The highest ranking official of the primary occupant agency of a Federal facility, or, alternatively, a designee selected by mutual agreement of occupant agency officials.

devolution. The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.

DMIS Parent MTF. An MTF whose DMIS parent ID is the same as its DMIS ID.

MEFs. Select functions directly related to accomplishing the Department's mission. Failure to perform or sustain these functions, which directly support primary mission-essential function (PMEF), would significantly affect the DoD's ability to provide vital services or exercise authority, direction, and control.

MTF. A fixed healthcare facility funded by the Defense Health Program.

PMEFs. The DoD MEFs, validated by the National Continuity Coordinator, which must be performed in order to support the performance of the national essential functions before, during, and in the aftermath of an emergency. PMEFs need to be performed continuously or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Reporting MTF. An MTF whose DMIS Parent ID is different from its DMIS ID, indicating that it reports data to the DMIS Parent ID MTF.