COMOMAG INSTRUCTION 5239.2B

Subj: AUTOMATED INFORMATION SYSTEMS (AIS) CONTINGENCY PLAN

Ref: (a) SECNAVINST 5239.3 **(A**

Encl: (1) AIS Contingency Plan for Commanding Officer, Mobile Mine Assembly Group (COMOMAG)

1. Purpose. To publish policies and procedures which will guide staff responses in the event COMOMAG should experience a total or partial loss of AIS capability.

2. Cancellation. COMOMAGINST 5239.2A.

3. Discussion. Reference (a) requires all commands who utilize AIS to develop and implement an AIS Contingency Plan which defines individual responsibility and procedures for responding to AIS casualties which affect the command's ability to meet its mission objectives.

4. Action. All staff personnel will familiarize themselves with the contents of enclosure (1). Those personnel assigned as team members under this plan will ensure all preparatory tasks defined for their area of responsibility are completed and their respective departments are briefed on plan requirements. All personnel who utilize AIS equipment to perform their duties will ensure required system backups outlined in Appendix C of enclosure (1) are completed in a timely manner as required.

R. E. SWART

Distribution: (COMOMAGINST 5216.1R)
List I, II (Case A)
COMINEWARCOM (Code N6)

AUTOMATED INFORMATION SYSTEM CONTINGENCY PLAN For Commanding Officer, Mobile Mine Assembly Group Corpus Christi, Texas

1.0 INTRODUCTION. COMOMAG has become increasingly dependent upon IS to perform its mission. The Department of the Navy (DON) AIS Security Program mandates that an active Risk Management Program be implemented by all activities who rely upon AIS services. Included in the Risk Management Program is the requirement to develop a contingency plan which provides reasonable support for essential procedures if an unforeseen AIS service disruption should occur.

1.1 PURPOSE. This document provides essential contingency guidance in terms of preparatory, emergency reaction, backup processing and service restoration activities following a total or partial disruption of micro computer services within the command.

1.2 OBJECTIVES. This plan is designed to meet the following contingency objectives:

a. To provide continued AIS support required by COMOMAG to meet its mission objectives.

b. To document specific actions to be taken during and after a disruption of AIS services.

c. To provide the resources and procedures required to restore normal AIS services.

1.3 SCOPE. This plan defines contingency procedures for micro computer equipment installed at the COMOMAG Headquarters located at building 36, NAS, Corpus Christi, TX. An evaluation of all applications has been conducted and workload priorities have been established.

2.0 PLANNING CONSIDERATIONS

2.1 ENVIRONMENTAL ASSESSMENT. Potential threats and their impact upon COMOMAG micro computer assets were evaluated and where possible, cost effective safeguards against such threats

have been identified and implemented. A prioritized list of residual threats was used to develop those contingency actions outlined in the plan and the potential losses associated with these threats were used to compute the cost effectiveness of contingency reactions listed. For purposes of this plan, mission essential systems will tolerate a down time of not more than one working day. Non-mission essential systems will tolerate reasonable down time required to correct the fault. The continued effectiveness of this plan will be validated by risk analyses conducted in the future.

2.2 WORKLOAD EVALUATION AND PRIORITIZATION. The Critical Processing List provided in Appendix A outlines the priorities assigned to specific tasks during implementation of this plan. The list was compiled from data submitted by all departments and is subject to change. While this plan is designed to limit the impact of AIS disruptions to tolerable limits, some services must necessarily be reduced when processing capability is lost.

2.3 COMMITMENT TO SUPPORT. COMOMAG and its staff are committed to the contingency planning process. COMOMAG's Executive Officer (XO) is designated as Contingency Task Team Leader and has the authority to coordinate the activities of other team members.

3.0 RESPONSIBILITIES. COMOMAG's Contingency Reaction Team Organization Chart is provided in Appendix B. Individual responsibilities for each functional area are established and approved by the Commanding Officer and are listed in the Contingency Personnel Control List provided in Appendix B.

4.0 CONTINGENCY PLAN STRUCTURE. The AIS Contingency Reaction Plan outlined in Appendix C addresses two specific types of actions. The first prepares the command for a contingency situation by detailing requirements for generating backup copies of all software, data and documentation utilized within the command and storing those backups in various secure locations. It will also identify equipment repair sources to be utilized in the event a hardware failure should occur. The second identifies those steps which will be taken during a contingency situation. This section is subdivided into three sections as indicated below:

a. Emergency Response. Emergency response procedures outline those actions to be taken immediately following a contingency situation. Contingency situations which can be recovered from quickly which do not require movement to alternate facilities are included in this area (e.g. minor fires, short term power failures, etc).

b. Backup Processing. Backup processing strategy details those actions required to respond to a partial loss of on-site processing and/or to transfer processing to a backup processing facility when command AIS equipment will be unavailable for an extended period of time.

c. Recovery. Recovery strategy defines those actions required to restore normal operations following a contingency.

5.0 BACKUP SUPPORT AGREEMENT. A backup support agreement with COMINEWARCOM has been established which provides for backup processing support and assistance in recovering from a catastrophe, which effects COMOMAG's AIS assets. A copy of the formal agreement is included in Appendix D.

6.0 CHANGE CONTROL/PLAN DISRUPTION

6.1 CHANGE CONTROL. Code N6, is responsible for posting changes to this document. Recorded changes shall include change number, date of change, purpose of change and other relevant information. The Change Control Log shall be maintained as Appendix E to this plan.

6.2 PLAN DISTRIBUTION. This contingency plan is approved by the Commanding Officer. A copy of the plan is maintained at the backup support facility along with all other required backup resources. Copies of this plan will be distributed as listed below:

Individual/Activity Name	Telephone Number
COMINEWARCOM, Code N6	DSN 861-4891 COMM (512) 939-4891

APPENDIX A

CRITICAL PROCESSING LIST

1. INTRODUCTION. This critical processing list is organized by department and identifies those processes, which are considered crucial to each department meeting its mission objectives.

2. ADMIN DEPARTMENT (N1)

PROCESS	PRIORITY
WORD PROCESSING (Microsoft Office)	1
DATA BASE MANAGEMENT (Access, Excel)	2
MESSAGE TRAFFIC (Microsoft Outlook, TurboPrep)	3

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3. OPERATIONS DEPARTMENT (N3)

PROCESS	PRIORITY
WORD PROCESSING (Microsoft Office)	1
MESSAGE TRAFFIC (Microsoft Outlook, TurboPrep)	2
DATA BASE MANAGEMENT (Access, Excel)	3
PROJECT MANAGEMENT	4
PRESENTATIONS (Power Point, Scanner)	5

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4. SUPPLY DEPARTMENT (N4)

PROCESS	PRIORITY
FUNDS STATUS (FASTADATA (Unclass LAN), EXCEL)	1

STARS-FL (Internet)	2
WORD PROCESSING (Microsoft Office)	3
MESSAGE TRAFFIC (Microsoft Outlook, TurboPrep)	4

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5. MINEFIELD PLANS (N5)

PROCESS	PRIORITY
MINEFIELD PLANNING (TAMPS, UMPUM (SUN WORKSTATIONS)) (DELTAC, GOPAS)	1
MINEFIELD PLANNING FOLDERS (OmniPage, Adobe Acrobat, Scanner)	2
MESSAGE TRAFFIC (TurboPrep)	3
MINE RECORD SHEETS (Access)	4
SCORING (AMISS)	5
WORD PROCESSING (Microsoft Office)	6

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6. AIS/COMMUNICATIONS (N6)

PROCESS	PRIORITY
NETWORK ADMINISTRATION (NWADMIN, TAPE BACKUP)	1
MESSAGE TRAFFIC (GATEGUARD, Microsoft Outlook, MDS, TurboPrep)	2
WORD-PROCESSING (Microsoft Office)	3

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7. TRAINING DEPARTMENT (N7)

PROCESS	PRIORITY
WORD PROCESSING (Microsoft Office)	1
MESSAGE TRAFFIC (Microsoft Outlook, TurboPrep)	2
DATA BASE MANAGEMENT (Access, Excel)	3
PRESENTATIONS (Power Point)	4

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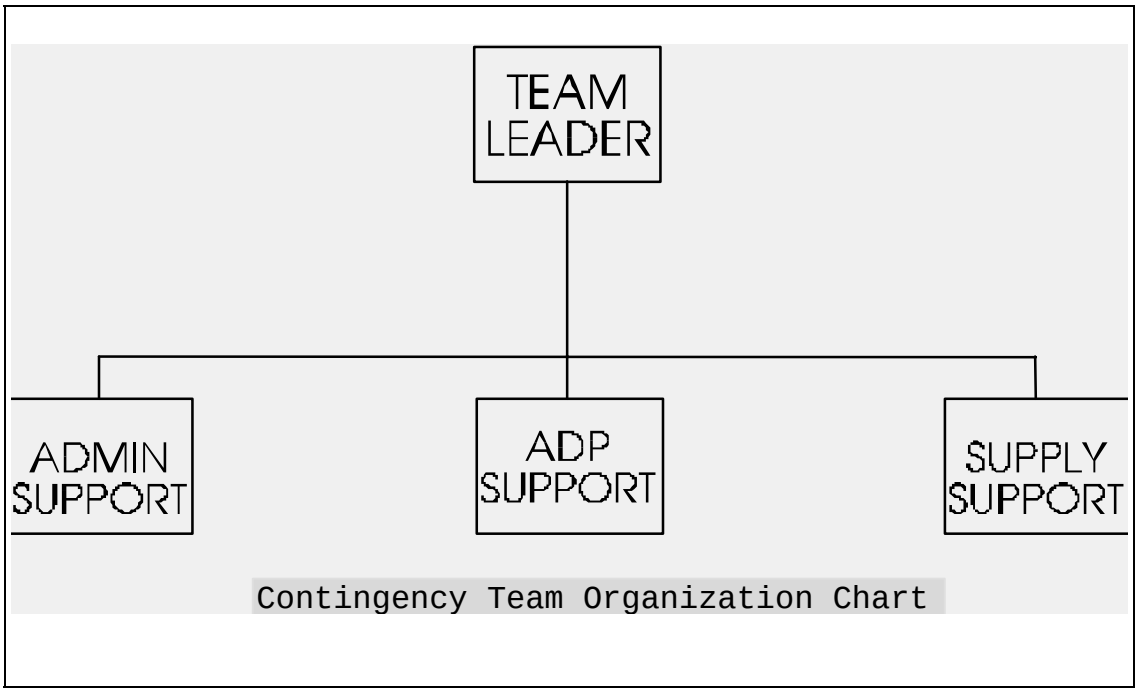
APPENDIX B
CONTINGENCY REACTION TEAM ORGANIZATION

1. TEAM ORGANIZATION CHART



2. CONTINGENCY PERSONNEL CONTROL LIST

a. Team Leader- Executive Officer (XO), (Code 01)

b. Admin Support- Administration Officer, (Code N1)

c. ADP Support- AIS Officer, (Code N6)

d. Supply Support- Supply Officer, (Code N4)

3. RESPONSIBILITIES

a. Team Leader. The XO, as Team Leader, will decide when a contingency situation exists and will specify which contingency actions are to be implemented. The Team Leader will act as primary liaison with higher authority and with other activities identified in this plan. While those actions outlined in this

plan will provide primary guidance in dealing with a contingency, the Team Leader may deviate from them when circumstance justifies it. In addition, the Team Leader may delegate some or all of his responsibility to other members of the team.

b. Administrative Support. N1 will ensure that all correspondence and security initiatives required to support this plan are provided for in a timely manner. He in consultation with N6, will establish administrative Standard Operating Procedures (SOPs) for supporting this plan and ensure that responsible administrative personnel have been indoctrinated in those procedures. As a minimum, the plan shall include:

(1) Procedures for notifying interested commands in the event AIS operations must be relocated.

(2) Security procedures to be followed during AIS relocation periods.

(3) Routing procedures for command correspondence during AIS relocation periods.

c. AIS Support. N6 will serve as primary technical advisor to the Team Leader, and will be responsible for:

(1) Developing and maintaining the AIS Contingency Plan, and for implementing and monitoring the procedures outlined in the plan,

(2) Assisting other team members in completing their responsibilities.

(3) Assisting other departments in preparing their contingency plan SOPs.

R) (4) Coordinating with the support facility IS Security Manager (ISSM) to ensure that all AIS security issues are addressed.

(5) Ensuring that all message handling and clearance processing required to support the plan are provided for.

(6) Negotiating the terms of backup support agreements and for developing support agreement drafts.

(7) Conducting periodic tests of contingency procedures and reporting results to the Team Leader.

d. Supply Support. N4 will ensure that adequate funding for contingency support is identified in the COMOMAG budget and in consultation with N6, will establish Standard Operating Procedures (SOPs) for supporting this plan. At a minimum the SOP should encompass:

(1) Defining the procedure required to request any emergency funding identified in Appendix C.

(2) Ensuring that appropriate procedures for obtaining AIS materials required to support this plan are available.

(3) Maintaining a Government Wide Commercial Purchase Card which can be used to procure required replacement parts and/or other services in a timely manner.

APPENDIX C
AIS CONTINGENCY REACTION PLAN

1. OVERVIEW. This Contingency Reaction Plan identifies two types of actions which together will provide reasonable assurance that COMOMAG will have adequate AIS capability in place to support its most crucial processing requirements. The first of these outlines contingency preparation procedures which will provide those basic items required to recover from an AIS casualty. The second outlines those actions to be taken in the event a casualty should occur and defines three specific responses. These include an Emergency Response, a Backup Processing Response and a Recovery Response.

2. CONTINGENCY PREPARATION

a. Hardware/Software - The N6 department will ensure:

(1) All software purchased for the command is properly registered with the vender.

(2) Copies of locally developed programs are copied to CD-ROM.

(3) A current copy of COMOMAGINST 5239.1C is stored in the command vault and at the backup support facility. This instruction contains a listing of all hardware and software utilized by COMOMAG. **(R**

(4) One complete package (software and documentation) of all site unique software utilized by the command is stored at designated backup support facility. Installation disks may be copied to CD-ROM for this purpose.

(5) All remaining copies of software diskettes and documentation are stored in storage cabinets located in room 225 of the Headquarter.

(6) That the designated backup support facility is provided a copy of COMOMAG personnel security clearances.

A) b. Tape Backup. All network users will store their data in designated directories located on the commands File Servers. At the end of each work day, a complete copy of all files stored on COMOMAG's File Servers will be written to tape. A FILE VERIFICATION PASS WILL BE PERFORMED each time tape backups are made. All tapes will contain appropriate classification labels. The following specifics are provided:

A) (1) COMOMAG's in-house tape storage area is the command Strong Room, room 113.

(2) The N6 department will perform complete server backups to tape at the end of each work day. N6 will ensure that the server backup tapes are properly labeled and forwarded to the command strong room for storage.

(3) Each Monday, N61 will collect all save tapes generated during the previous Friday's backup process and forward them to the designated support facility for storage. In addition, he/she will retrieve the tapes stored at the facility the previous week and return them to the command strong room.

c. Equipment Protection. Plastic covers will be provided for all command micro computers and printers. These covers will be placed on the equipment at the end of each work day. All system users will ensure that the surge protection devices and/or Battery Backup Supply provided for their systems are utilized at all times.

d. Maintenance Support. N6 will maintain a list of telephone numbers and Points of Contact for systems which are still under vendor warranty and will request maintenance support as required. N6 personnel are trained to perform most PC maintenance tasks and will provide primary maintenance support
R) for those systems no longer under warranty. The single exception to this rule are the Sun Workstations located in the N5 department. A maintenance contract will be left to support these systems. Duplicate copies of the hardware, Software and Target data are maintained at Costal Systems Station (CSS), Panama City, Fl. The N6 department will strive to maintain a reasonable on-board inventory of spare components so that most repairs can be completed immediately. The N6 department will also compile a list of local commercial sources from whom replacement parts can be quickly obtained and will submit purchase requests to N4 as required.

3. CONTINGENCY ACTION

a. Emergency Response. These procedures outline actions to be taken when minor disruptions of a temporary nature occur which will not require relocation to a backup processing facility.

(1) Power Failure. In the event a short term power failure should occur, all AIS equipment will be powered off until electrical power has been restored and is considered stable. The single exception are the Command File Servers which are protected by backup power supplies that automatically power the servers down when emergency power has been exhausted.

(2) Workstation Failure. In the event a hardware component should fail, the user will notify the N6 department who will attempt to correct the problem. If the problem cannot be corrected, N6 will arrange to have the system repaired and when necessary, will arrange for alternative in-house computer support. The following specifics apply:

(a) Gateguard System. If the Gateguard computer should fail and cannot be repaired within four hours, the BIC card and other Gateguard hardware will be removed and installed in a system equipped with a removable DataPort drive. That system will be temporally relocated to room 113 and all processing normally performed on the relocated system reassigned to other workstations. COMOMAG also has a spare BIC card and data cables which can be used to restore Gateguard services. Should all Gateguard support be lost, COMOMAG will request that COMINEWARCOM assume its guardlist and distribute COMOMAG traffic via their Wide Area Network (WAN).

(b) Network Workstation. Applications run on the **(A** Classified and Unclassified LANs are accessible from other workstations connected to those LANS and emergency scheduling for required computer time can be easily arranged. The exceptions are the Sun Workstations located in the N5 department and the CAIMS terminal located in the N3 spaces. Contracted vendor support will be utilized to return the Sun Workstations to operating status. All contracted technicians who perform maintenance on the SUN Workstations must be escorted by the ISSM or a qualified ISSO. Required hardware/software from the CAIMS terminal can be installed on a substitute system until the CAIMS system can be restored. Access to scanner and color printer equipment is not considered crucial and such support can easily be obtained from COMINEWARCOM.

(c) STARS-FL System. The hardware and software required to support the STARS-FL data link can be readily installed on other systems. In addition, a duplicate system with the same capabilities is available in the N4 spaces. If either system should be lost, required hardware and software components would be removed and installed on another N4 system.

A) (d) SUN WORKSTATIONS. A standing maintenance support agreement is in place with SUN Microsystems to support hardware/software failures for these systems. If problems occur with applications software or with target databases stored on these systems, the ISSM will contact CSS, Panama City, FL for direction.

(e) Hard Drive failures. N6 will replace defective workstation hard drives and will utilize the latest departmental default setup stored on the network or the latest system back-up tape to restore required system and/or user files.

(3) File Server. Disk mirroring and or RAID technology has been implemented on COMOMAG file servers. Should the primary disk fail, the network will continue to operate until it can be downed temporally to correct the problem. Should a total server failure occur, Microsoft Windows and Microsoft Office are installed on all workstation disk drives and can be used to provide a limited processing capability until the server can be restored. N6 will provide temporary working copies of required network files from server backup tapes upon request. Printing support will be provided by temporarily attaching printers to selected workstations.

b. Backup processing. These procedures outline actions to be taken when major disruptions of AIS services occur or when relocation to a backup processing facility is required. Emergency responses listed above will be implemented where applicable. In addition, the actions listed here will be implemented as required.

(1) Power Failure Headquarters Building. In the event a power outage will extend beyond a tolerable limit determined by COMOMAG and power is available at the backup processing facility, arrangements will be made to establish a mini classified network consisting of a single file server and six workstations in spaces

designated by the support facility. An unclassified LAN consisting of a file server and a single workstation will be installed in the same space. All documentation required to support the critical processing listed on the Critical Processing List will be collected and transported with the hardware. If power is not available at the backup facility, N6 will establish a mini network in Rooms 227 and 228 using portable generator power. The latter option is applicable so long as operating temperatures in rooms 227 and 228 can be maintained within vendor specifications. **(R**

(2) Hurricanes. In the event, the staff is required to relocate to San Antonio during a hurricane, COMOMAG's AIS requirements will be provided for in those support agreements COMINEWARCOM's N6 Department has negotiated with designated Air Force facilities. COMOMAG's ISSM will ensure required equipment, software, backup tapes and other required materials are transported to the temporary facility. **(A**

(3) Loss of Headquarters facility. In the event all or part of the headquarters facility is lost, N6 will evaluate the damage to the command's AIS assets and develop a proposal for restoring a partial AIS capability as described under power failures. The following additional actions will be taken:

(a) N6 will retrieve any backup tapes and software documentation required to restore systems from in-house storage or from the backup support facility.

(b) N6 will compile a list of equipment and software lost during the event and submit a report which identifies replacement costs and procurement sources for lost items to N4.

(c) N4 will prepare emergency requisitions for required materials.

(d) N4 will prepare and submit an emergency funding request to COMINEWARCOM (Codes N4 and N6) to cover replacement costs for lost items. N4 will also prepare and submit requisitions for required replacements.

c. Recovery. Following a contingency which requires relocation, the Team Leader will establish a date and time AIS processing will be terminated at the backup site. Prior to that date, N6, in conjunction with the Contingency Team, will procure replacement AIS equipment if required and will establish at a minimum, a temporary stand alone capability for each department. Full restoration of AIS services will be completed as replacement hardware and software becomes available. Once full processing has been restored, N6 will ensure that all contingency preparation actions listed in this plan are reinstated.

APPENDIX D
JOINT AUTOMATED INFORMATION SYSTEMS (AISs) BACKUP SUPPORT AGREEMENT
between
Commander, Mine Warfare Command
and
Commanding Officer, Mobile Mine Assembly Group

I. GENERAL. This agreement sets forth the terms and conditions under which COMINEWARCOM will provide back-up processing support for COMOMAG in the event COMOMAG's should experience a partial or total disruption of its AIS services. The effective date of this agreement is 30 July 1996 and the agreement will remain in effect until terminated by either command.

II. PURPOSE. The purpose of this agreement is to provide for emergency AIS processing support in the event COMOMAG should experience a disruption in its AIS processing capability. This agreement provides for processing support and for assistance in recovering from an AIS casualty.

III. TERMS AND CONDITIONS

a. AIS Contingency. An AIS contingency is defined as any event that denies COMOMAG access to its AIS resources beyond that reasonable period defined in their AIS Contingency Plan.

b. Term Review. Either command may call for a review of the provision of this agreement at any point they deem necessary. Otherwise, the terms of this agreement shall be reviewed annually or when changes in conditions dictate.

c. Resource Commitment. COMINEWARCOM agrees to provide backup storage space where COMOMAG backup tapes, software diskettes and software documentation required to recover from an AIS casualty might be stored. COMINEWARCOM also agrees to provide telephone services and the use of a space where COMOMAG can establish a temporary AIS processing capability. If such space is not available or if COMOMAG has suffered a total casualty, COMINEWARCOM agrees to grant COMOMAG access to those AIS resources required to provide a partial processing capability until normal AIS operations can be restored. Specifically, the commands further agree that:

(1) In the event COMOMAG should experience a power outage which extends beyond a tolerable limit determined by COMOMAG or should COMOMAG experience a loss to its facilities which denies access to its AIS services, COMINEWARCOM will allow COMOMAG to establish a mini network in room 205 which will consist of a single file server and six workstations. Should room 205 not be available, COMINEWARCOM will identify alternative spaces for COMOMAG's use during the required period.

(2) In the event COMOMAG should experience a total loss of it facility and/or AIS capability, COMINEWARCOM will provide access to its computer network and to at least six workstations until normal services can be restored. In addition, COMINEWARCOM will expedite acquisition of that hardware and software required to restore COMOMAG's AIS capability.

(3) COMINEWARCOM will provide AIS consumables that may be required during a contingency period requiring relocation when COMOMAG cannot provide such assets for its self.

(4) COMINEWARCOM will allocate two telephones for COMOMAG use during a contingency period which requires relocation.

(5) COMOMAG will limit its contingency processing to that deemed essential to its mission.

(6) Both commands will be flexible in work scheduling during a contingency situation in order that crucial processing required by either command can be given processing priority.

(7) COMOMAG will bear all costs associated with implementing this agreement except for those required to purchase replacement hardware and/or software lost during a casualty event. COMINEWARCOM will arrange for that emergency funding requested by COMOMAG in accordance with standing disaster recovery instructions.

IV. SIGNATURE

Commanding Officer, Mobile Mine Assembly Group:

R. E. Swart Date _____

Commander, Mine Warfare Command, (Code N6)

S. N. Ezell Date _____

APPENDIX E

CHANGE CONTROL LOG

CHANGE NR	CHANGE DESCRIPTION/PURPOSE	CHANGE DATE