



Department of Defense

DIRECTIVE

NUMBER 3020.26
January 9, 2009

USD(P)

SUBJECT: Department of Defense Continuity Programs

- References:**
- (a) DoD Directive 3020.26, "Defense Continuity Program (DCP)," September 8, 2004 (hereby canceled)
 - (b) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
 - (c) National Security Presidential Directive-51/Homeland Security Presidential Directive-20, "National Continuity Policy," May 9, 2007
 - (d) "National Continuity Policy Implementation Plan," August 2007
 - (e) Section 2674 of title 10, United States Code
 - (f) National Communications System Directive 3-10, "Telecommunications Operations," July 25, 2007

1. **PURPOSE.** This Directive:

- a. Reissues Reference (a) and changes its title.
- b. Revises continuity policies and assigns responsibilities for developing and maintaining Defense Continuity Programs to enhance the DoD readiness posture.

2. **APPLICABILITY.** This Directive applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the "DoD Components").

3. **DEFINITIONS.** These terms and their definitions are for the purpose of this Directive.

- a. **continuity of government (COG).** A coordinated effort within each branch of Government ensuring the capability to continue branch-minimum essential responsibilities in a catastrophic crisis. COG is dependent on effective continuity of operations plans and capabilities.

b. continuity of operations (COOP). An internal effort within individual DoD Components to ensure uninterrupted, essential DoD Component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.

c. enduring constitutional Government (ECG). A cooperative effort among the Executive, Legislative, and Judicial Branches of the Federal Government, coordinated by the President, to preserve the capability to execute constitutional responsibilities in a catastrophic crisis. ECG is the overarching goal; its objective is the preservation of the constitutional framework under which the Nation is governed. ECG is dependent on effective COOP and COG capabilities.

d. mission essential functions (MEFs). The specified or implied tasks required to be performed by, or derived from, statute, Executive order, or other appropriate guidance, and those organizational activities that must be performed under all circumstances to achieve DoD Component missions or responsibilities in a continuity threat or event. Failure to perform or sustain these functions would significantly affect the Department of Defense's ability to provide vital services or exercise authority, direction, and control.

4. POLICY. It is DoD policy that:

a. All Defense continuity-related activities, programs, and requirements of the DoD Components, including those related to COOP, COG, and ECG, shall ensure the continuation of current approved DoD and DoD Component MEFs under all circumstances across the spectrum of threats.

b. All DoD continuity planning and programming shall:

(1) Be based on the assumption that no warning of attack or event will be received.

(2) Ensure the performance of MEFs during any emergency for a period of up to 30 days or until normal operations can be resumed. The capability to perform MEFs at alternate sites must be fully operational as soon as possible, but no later than 12 hours after COOP activation.

(3) Be based on risk-management assessments to ensure that appropriate operational readiness decisions consider the probability of an attack or incident and its consequences.

(4) Emphasize the permanent and routine geographic distribution of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted capability to accomplish DoD MEFs.

(5) Maximize the use of technological solutions to provide information to leaders and other users, facilitate decision making, maintain situational awareness, and issue orders and direction. Technology, information systems and networks must be interoperable, robust, reliable, and resilient.

(6) Integrate critical infrastructure protection, information assurance, operations security, and defense crisis management requirements, as appropriate.

c. Continuity requirements shall be incorporated into the daily and routine operations of all DoD Components.

d. The continuity program supporting the Secretary of Defense shall include dedicated access to communications capabilities at the Pentagon and alternate operating facilities. This will include availability and redundancy of critical communications capabilities to support alternate facilities and distributed operations. It also shall include dedicated access to mobile communications capabilities during transit between operating locations to ensure the execution of DoD MEFs under all circumstances.

5. RESPONSIBILITIES. See Enclosure.

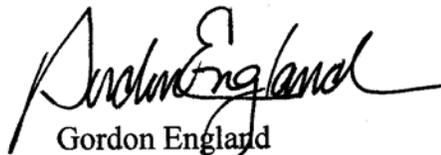
6. INFORMATION REQUIREMENTS

a. The Annual Report to the National Continuity Coordinator has been assigned report Control Symbol (RCS) DD-POL-(A)2331 in accordance with DoD 8910.1-M (Reference (b)).

b. The continuity readiness reports and other operational continuity reports are exempt from licensing in accordance with paragraph C4.4.2. of Reference (b).

7. RELEASABILITY. UNLIMITED. This Directive is approved for public release and is available on the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Directive is effective immediately.


Gordon England
Deputy Secretary of Defense

Enclosure
Responsibilities

ENCLOSURE

RESPONSIBILITIES

1. USD(P). The USD(P) shall:

a. As the DoD senior accountable official, serve as the DoD Continuity Coordinator per National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (Reference (c)), and as such shall:

(1) Serve as the DoD single point of contact to the Federal interagency for continuity matters.

(2) Coordinate DoD continuity planning, capabilities, and activities with national continuity and homeland security efforts.

b. Provide strategic guidance and policy direction for, and oversee, planning, programming, budgeting, and execution of DoD continuity programs.

c. Provide guidance and oversight for selection of relocation sites for the Secretary and Deputy Secretary of Defense, supporting OSD Staff, and the DoD Components, in coordination with the Chairman of the Joint Chiefs of Staff and the Director, Administration and Management (DA&M).

d. Develop and maintain a comprehensive continuity plan to support the Secretary and Deputy Secretary of Defense, and their senior and supporting staffs, that addresses the requirements delineated in this Directive, Reference (c), and the National Continuity Policy Implementation Plan (Reference (d)); ensure that the focus of all DoD continuity planning, preparation, and execution is on ensuring the ability to continue performing the DoD MEFs.

e. Provide oversight with the Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer (ASD(NII)/DoD CIO), and in coordination with the DA&M, of information systems and networks that are critical to the performance of DoD MEFs under all circumstances across the spectrum of threats.

f. Develop, specify, and promulgate, in coordination with ASD(NII)/DoD CIO, the Chairman of the Joint Chiefs of Staff, and the DA&M, continuity requirements for the secure and integrated COG and COOP communications supporting National and departmental missions.

g. Develop, in coordination with the Chairman of the Joint Chiefs of Staff, a comprehensive, multi-year continuity test and exercise program to evaluate and validate the readiness of DoD continuity capabilities, plans, procedures, facilities, communications, and execution. The program shall:

(1) Require at least an annual test and exercise of the continuity plans that support the Secretary of Defense and the DoD Components.

(2) Be conducted consistent with the Department of Homeland Security-led National Exercise program.

(3) Ensure areas needing improvement are prioritized for corrective action and tracked through resolution.

h. Develop, coordinate, and publish prioritized and validated requirements for the use of DoD transportation assets in support of emergency evacuation and crisis-related operations in the National Capital Region (NCR), as defined in section 2674 of title 10, United States Code (Reference (e)).

i. Develop and maintain continuity security classification guidance in accordance with governing Executive orders and DoD issuances.

j. Annually, submit a report to the National Continuity Coordinator per Reference (d) certifying that DoD continuity plans include the requirements delineated in Reference (c), and provide guidance to the DoD Components regarding requirements for their supporting annual reports.

k. Develop and provide annual training to Heads of DoD Components that provides familiarization with the DoD MEFs and the requirements of the comprehensive continuity plan identified in paragraph 1.d. of this enclosure.

l. Submit continuity readiness reports in accordance with the Continuity of Government Conditions System per Reference (c), and other reports as requested per Reference (d), as required, and provide guidance to the DoD Components regarding requirements for their supporting reporting requirements.

m. Develop supporting DoD issuances that delineate and/or prescribe the essential elements of a viable continuity program.

n. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

o. Develop and oversee a governance structure and coordinating office that oversees and integrates the activities of the various DoD Components and organizations that provide or support Defense continuity programs and activities, and report to the respective DoD governing body.

2. UNDER SECRETARY OF DEFENSE FOR ACQUISITION, TECHNOLOGY, AND LOGISTICS (USD(AT&L)). The USD(AT&L) shall:

a. Develop policy and provide guidance to the DoD Components on the integration of continuity requirements in the research, development, acquisition, and logistical support of equipment, systems, and facilities.

b. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

3. UNDER SECRETARY OF DEFENSE (COMPTROLLER)/CHIEF FINANCIAL OFFICER (USD(C)/CFO). The USD(C)/CFO shall:

a. Aggregate information on DoD Component funding programmed and budgeted to support Defense continuity programs.

b. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

4. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R) shall:

a. Provide oversight, in coordination with the Chairman of the Joint Chiefs of Staff, to ensure the DoD health, training, personnel, and readiness policies and practices support Defense continuity programs.

b. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

5. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE (USD(I)). The USD(I) shall:

a. Establish, in coordination with the Chairman of the Joint Chiefs of Staff, continuity requirements and tasking for intelligence and counterintelligence collection and analysis programs to support Defense continuity programs.

b. Provide oversight and guidance and ensure the continuity planning and readiness of the Defense Intelligence Enterprise.

c. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

6. ASD(NII)/DoD CIO. The ASD(NII)/DoD CIO shall:

- a. Provide, in coordination with USD(P), the Chairman of the Joint Chiefs of Staff, and the DA&M, secure and integrated COG communications support required by Reference (c).
- b. Through the Director, Defense Information Systems Agency, and in coordination with the USD(P), the Chairman of the Joint Chiefs of Staff, and the DA&M, design, develop, implement, and maintain the secure and integrated COG communications required by Reference (c).
- c. Provide, in coordination with USD(P), the Chairman of the Joint Chiefs of Staff, and the DA&M, secure and integrated COOP communications support to the Department of Defense.
- d. Ensure that continuity requirements developed, specified, and promulgated by the USD(P) are incorporated and implemented into the secure and integrated COG and COOP communications capabilities required in paragraphs 6.a. and 6.b. of this enclosure.
- e. Oversee and implement DoD participation in and support to Department of Homeland Security-led quarterly assessments of continuity communications capabilities per Reference (c).
- f. In coordination with the USD(P), the Chairman of the Joint Chiefs of Staff, and the DA&M, and pursuant to National Communications System Directive 3-10 (Reference (f)):
 - (1) Provide oversight and guidance for the information systems and networks necessary to support the continuation of DoD MEFs under all circumstances.
 - (2) Report quarterly on the status of those information systems and networks capabilities.
 - (3) Provide direction and guidance to the DoD Components regarding information systems and networks necessary to support the continuation of DoD and DoD Component MEFs under all circumstances.
- g. Incorporate DoD continuity capabilities into the integrated command and control enterprise and oversee information systems and networks that are critical to the performance of DoD and DoD Component MEFs under all circumstances.
- h. Determine requirements and cost estimates for additional commercial and Federal communication services and facilities to support the execution of MEFs during a crisis.
- i. Validate, in coordination with USD(P) and DA&M, Defense Continuity Integrated Network/Pentagon Continuity Information System (DCIN/PCIS) requirements.

7. DA&M. The DA&M shall:

- a. Manage the OSD Continuity of Operations Information Technology Program for OSD relocation sites in the NCR that support the Secretary and Deputy Secretary of Defense.
- b. Serve as the program manager for the DCIN/PCIS.
- c. Exercise overall management responsibility for the Raven Rock Mountain Complex (RRMC) through the RRMC Installation Commander. This includes responsibility for operation, management, renovation, construction, information technology, information management, security, and force protection.
- d. Exercise overall management for Secretary and Deputy Secretary of Defense relocation sites in the NCR. This includes management of all facility infrastructure operations, renovation, capital improvements, and common information technology infrastructure and services.
- e. Conduct an analysis and develop a plan for the partial and full reconstitution of the OSD and provide support to the reconstitution efforts of DoD Components who are tenants of Pentagon facilities in the NCR.

f. Through the Director, Secretary of Defense Communications:

(1) Maintain, on a daily basis, the information provided by the Under Secretaries of Defense and Secretaries of the Military Departments concerning absences from the NCR and provide that information to the Chairman of the Joint Chiefs of Staff through the National Military Command Center.

(2) Provide the Secretary and Deputy Secretary of Defense dedicated access communications capabilities at the Pentagon, alternate operating facilities, and access to mobile communications capabilities during transit between operating locations to ensure the execution of DoD MEFs under all circumstances.

8. HEADS OF THE DoD COMPONENTS. The Heads of the DoD Components shall:

a. Incorporate continuity requirements into Component daily activities and operations. Integrate continuity-related functions and activities into operations and exercises to ensure that MEFs can be performed under all circumstances across the spectrum of threats.

b. Designate to USD(P), in writing, a senior accountable official as the Component Continuity Coordinator who is directly responsible to the Head of the DoD Component for management oversight of the Component continuity program and is the single point of contact for coordination within the Component for continuity matters.

c. Develop, coordinate, and maintain continuity plans, and validate, update, and reissue plans every 2 years, or more frequently, as changes warrant. Plans shall:

(1) Identify and prioritize organizational MEFs, particularly those that must be performed under all circumstances to support or implement the performance of DoD MEFs.

(2) Establish pre-planned and emergency delegations of authority, orders of succession, and devolutions of authority for essential functions and key positions; identify and provide for alert and/or notification, movement, and training of continuity staffs; provide orientation and awareness training to non-continuity staff members; and address information technology and communications support to continuity operations.

(3) Identify relocation sites or platforms for Component use during continuity threats or events. Site selection shall consider information systems and networks, geographical dispersion, physical security, and maximize co-location and dual-use facilities with a focus on risk mitigation.

(4) Provide for the identification, storage, protection, and availability for use at relocation sites of the vital records, materiel, and databases required to execute MEFs. Pre-positioning and storage procedures should be enduring, survivable, and redundant.

(5) Define the decision process within the Component, including individual positional authority, for executing the Component's continuity plans.

(6) Provide for reconstitution capabilities that allow for recovery from an emergency and resumption of normal operations.

d. Develop and implement coordinated, multi-year strategic management plans for assets and resources in support of Defense and Component continuity plans, as appropriate.

e. Ensure that continuity programs are adequately planned, programmed, and budgeted to meet the continuity requirements set forth in this Directive, and that defense-continuity-unique requirements are specifically identified in their budgets. This shall include multi-year strategic planning for all assets and resources, and the development, operation, and maintenance of facilities, interoperable communications, and transportation capabilities.

f. Test and exercise continuity plans at least annually, or as otherwise directed, to evaluate and validate program readiness.

g. Annually, submit a report to the USD(P) certifying that the Component continuity plan includes the requirements delineated in this Directive.

h. Submit continuity readiness reports to the USD(P), as required, to support DoD continuity readiness reporting requirements in accordance with paragraph 1.k. of this enclosure.

i. Provide oversight and guidance, and ensure the continuity planning and readiness of subordinate organizations.

j. Integrate personnel, physical, operations, and information security strategy(ies) to protect plans, personnel, facilities, and capabilities to prevent adversaries from interdicting continuity plans and operations.

9. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments shall:

a. Support emergency evacuation and crisis-related operations in the NCR in accordance with the Commander, U.S. Northern Command (CDRUSNORTHCOM) NCR emergency relocation and crisis-related operations plan.

b. Notify the Director, Secretary of Defense Communications, when outside the NCR for any reason in order to support tracking of personnel in the order of succession to the Secretary of Defense.

10. CHAIRMAN OF THE JOINT CHIEFS OF STAFF. The Chairman of the Joint Chiefs of Staff shall:

a. Provide, to the DoD Components with designated combat or combat support roles, planning guidance on defense continuity matters pertaining to those roles.

b. Assure the survivability, reliability, and availability of command and control systems comprising the National Military Command System at relocation sites under all circumstances across the spectrum of threats.

c. Maintain, on a daily basis, the information provided by the DA&M concerning absences from the NCR of the Under Secretaries of Defense and Secretaries of the Military Departments, and provide that information to the Combatant Commanders.

d. Ensure the orderly succession to the position of Chairman of the Joint Chiefs of Staff.

11. CDRUSNORTHCOM. The CDRUSNORTHCOM shall, in coordination with the USD(P), the Chairman of the Joint Chiefs of Staff, and the Commander, U.S. Transportation Command, develop, maintain, and execute on order an overarching operations plan for use of DoD transportation assets in support of emergency relocation and crisis-related operations in the NCR, and provide guidance and direction to the DoD Components providing assets on plan implementation and execution.