



DoD DIRECTIVE 3020.26

DoD CONTINUITY POLICY

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Approved by:	Patrick M. Shanahan, Deputy Secretary of Defense

Purpose: This issuance establishes DoD continuity policy and assigns responsibilities for its implementation.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) 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 DoD (referred to collectively in this issuance as the “DoD Components”).

1.2. POLICY.

a. Comprehensive and effective continuity capabilities will be maintained within the DoD to ensure the uninterrupted execution of mission-essential functions (MEFs) and support continuity of operations (COOP), continuity of government (COG), and enduring constitutional government (ECG). Support to COG and ECG will be addressed in classified policy documents.

b. Continuity programs will be adaptable in order to ensure performance of DoD Component MEFs under escalating threat levels across the spectrum and meet the requirements in Section 2 of this directive.

1.3. INFORMATION COLLECTIONS. The continuity readiness status reports, referred to in Paragraphs 2.2.g., 2.3.d., and 2.13.i. of this directive, do not require licensing with a report control symbol in accordance with Paragraph 1.b.(9) of Enclosure 3 of Volume 1 of DoD Manual 8910.01.

SECTION 2: RESPONSIBILITIES

2.1. UNDER SECRETARY OF DEFENSE FOR POLICY (USD(P)). The USD(P) is the Principal Staff Assistant (PSA) and advisor to the Secretary of Defense and the Deputy Secretary of Defense on COOP and COG, in accordance with DoD Directive (DoDD) 5111.1. In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the USD(P):

- a. Develops DoD policy and provides oversight for COOP and COG.
- b. Serves as the DoD Continuity Coordinator in accordance with Presidential Policy Directive-40 (PPD-40).
- c. Serves as the DoD primary point of contact to other federal departments and agencies for continuity matters.
- d. Coordinates DoD continuity planning, capabilities, activities, and exercises with national continuity and homeland security efforts.
- e. Provides strategic guidance and policy direction for, and oversees planning, programming, budgeting, and execution of, DoD continuity programs.
- f. Develops supporting DoD issuances and guidance, as required, to implement the provisions of national continuity policy and this directive.

2.2. ASSISTANT SECRETARY OF DEFENSE FOR HOMELAND DEFENSE AND GLOBAL SECURITY (ASD(HD&GS)). Under the authority, direction, and control of the USD(P), the ASD(HD&GS):

- a. Provides joint oversight of continuity information technology (IT) requirements with the DoD Chief Information Officer (DoD CIO).
- b. In coordination with the DoD CIO, the CJCS, and the Chief Management Officer of the Department of Defense (CMO), develops and issues continuity IT requirements that are critical to the performance of MEFs.
- c. In coordination with the CJCS, develops and executes at least one annual continuity exercise in which the DoD Components will participate in accordance with DoD Instruction (DoDI) 3020.47.
- d. Maintains a memorandum of agreement with the Office of the Under Secretary of Defense for Acquisition and Sustainment concerning continuity operational responsibilities for the Director, Defense Logistics Agency.
- e. Develops and coordinates policy for the use of DoD transportation assets in support of continuity programs in the National Capitol Region (NCR).

f. Develops, maintains, and biennially reviews continuity security classification guidance and program protection plans, as appropriate.

g. Submits continuity readiness reports on the status of DoD Component COOP plans, continuity training, relocation sites, and continuity IT capabilities to the Secretary of Defense annually through the DoD Continuity Coordinator.

2.3. DEPUTY ASSISTANT SECRETARY OF DEFENSE FOR DEFENSE CONTINUITY AND MISSION ASSURANCE (DASD(DC&MA)). Under the authority, direction, and control of the USD(P) through the ASD(HD&GS), the DASD(DC&MA):

a. Develops and maintains a comprehensive COOP plan for OSD that:

(1) Prescribes support to the Secretary and Deputy Secretary of Defense.

(2) Addresses requirements identified in this directive and the National Continuity Policy.

b. Develops and maintains plans for DoD support to COG and ECG, as necessary.

c. Develops, maintains, and biennially reviews a continuity operations security program and plan, as appropriate.

d. Submits continuity readiness status reports to the Federal Emergency Management Agency in accordance with Federal Continuity Directive 1. Provides guidance to the DoD Components regarding their supporting reporting requirements.

e. Annually reviews a representative sample of DoD Component COOP plans for compliance with this directive and DoDI 3020.42.

f. Biennially reviews DoD primary mission-essential functions (PMEFs). Submits validation and updates to the National Continuity Coordinator, through the ASD(HD&GS) and the DoD Continuity Coordinator, for approval.

g. Integrates continuity with the Mission Assurance Coordination Board to address strategic risks to DoD Component continuity plans and programs.

2.4. UNDER SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING. In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the Under Secretary of Defense for Research and Engineering develops and establishes policy and provides guidance to the DoD Components on the integration of continuity requirements for research, engineering and development.

2.5. UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT (USD(A&S)). In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the USD(A&S) develops and establishes policy and provides guidance to the DoD Components on

the integration of continuity requirements in the acquisition, and logistical support of equipment, systems, and facilities.

2.6. DIRECTOR, DEFENSE LOGISTICS AGENCY. Under the authority, direction, and control of the USD(A&S), the Director, Defense Logistics Agency, in addition to the responsibilities in Paragraph 2.13., supports the DoD Continuity Coordinator in accordance with the January 15, 2016 Memorandum of Agreement between the ASD(HD&GS) and the Assistant Secretary of Defense for Logistics and Materiel Readiness.

2.7. UNDER SECRETARY OF DEFENSE (COMPTROLLER)/CHIEF FINANCIAL OFFICER, DEPARTMENT OF DEFENSE. In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense, annually reviews and provides guidance to the DoD Components for the preparation and review of program and budget submissions for DoD Component continuity programs and makes modifications as necessary.

2.8. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS. In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the Under Secretary of Defense for Personnel and Readiness provides policy and guidance to the DoD Components regarding the incorporation of public health emergency planning in COOP plans.

2.9. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE. In addition to the responsibilities in Paragraphs 2.13., 2.14., and 2.15., the Under Secretary of Defense for Intelligence, in coordination with the CJCS, establishes requirements and tasking for intelligence, counterintelligence, and security capabilities to support DoD Component continuity programs.

2.10. DIRECTOR, WASHINGTON HEADQUARTERS SERVICES. Under the authority, direction, and control of the CMO, through the Director for Administration of the Office of the CMO, the Director, Washington Headquarters Services:

a. Exercises management responsibility and oversight for the operation, management, renovation and construction, budgeting, maintenance, and logistical support of the Raven Rock Mountain Complex to meet requirements established by the Secretary of Defense, the CJCS, and other assigned tenants.

b. Acquires administrative space through the General Services Administration or the Military Departments. Subsequently assigns, withdraws, and reassigns such space within the geographic area that falls within 100 miles of the Pentagon.

c. Upon request, provides services to assist the DoD tenants of the Pentagon, the Mark Center, and leased facilities in the NCR in their reconstitution planning efforts.

- d. Leads reconstitution efforts within the NCR.

2.11. DIRECTOR, PENTAGON FORCE PROTECTION AGENCY. Under the authority, direction, and control of the CMO, the Director, Pentagon Force Protection Agency:

- a. Exercises management responsibility and oversight for the security and force protection of the Raven Rock Mountain Complex to meet requirements established by the Secretary of Defense, the CJCS, and other assigned tenants.

- b. Serves as the designated emergency manager for the Pentagon Reservation.

- c. Plans, coordinates, integrates, and synchronizes:

- (1) Emergency operations on the Pentagon Reservation, which include supporting and coordinating law enforcement.

- (2) Access control to the Pentagon Reservation during COOP events.

2.12. DOD CIO. In addition to the responsibilities in Paragraph 2.13., the DoD CIO:

- a. In coordination with the ASD(HD&GS), the CJCS, the CMO, and the Director, Defense Information Systems Agency, designs, develops, implements, and maintains the secure and integrated COG communications required by PPD-40 and Office of Science and Technology Policy Directive 16-1 (OSTP-D-16-1) to select Federal Executive Branch departments and agencies and DoD Components.

- b. In coordination with the ASD(HD&GS), supports Department of Homeland Security-led quarterly assessments of continuity communications capabilities in accordance with OSTP-D-16-1.

- c. In coordination with the ASD(HD&GS), the CJCS, and the CMO, and pursuant to OSTP D-16-1, provides direction and guidance to the DoD Components regarding IT necessary to support the continuation of PMEFs under all circumstances.

- d. Establishes IT policies and standards for life-cycle management, configuration management, and support requirements for network, equipment, and information services installation of IT at select DoD relocation sites established by the ASD(HD&GS).

- e. Ensures common access and authentication are available at select DoD relocation sites established by the ASD(HD&GS).

- f. Provides policy guidance and oversight of cybersecurity critical to the performance of DoD essential functions under all circumstances across the spectrum of threats.

- g. Ensures that continuity requirements distributed by the ASD(HD&GS) and the CJCS are incorporated and implemented into the secure and integrated continuity IT capabilities required in Paragraph 2.2.b. of this directive.

2.13. DOD AND OSD COMPONENT HEADS. The DoD and OSD Component heads:

a. Develop, coordinate, and maintain a DoD Component continuity program in accordance with this directive to ensure the continuation of Component essential functions across the spectrum of threats.

b. When preparing their continuity programs:

(1) Incorporate continuity requirements into daily and routine operations to ensure seamless continuation of MEF capabilities. In consideration of the all-hazards and all-threats environment, continuity programs and planning will be based on the assumption that adequate warning of an attack or event will not be received.

(2) Ensure the performance of essential DoD Component functions for a minimum of 30 days or until normal operations can be resumed. The capability to perform essential functions at alternate or telework sites or shelter-in-place locations must be fully operational as soon as possible, but no later than 12 hours after COOP activation.

(3) Leverage existing geographic dispersion of leadership, staff, and infrastructure to increase survivability and the ability to devolve in order to maintain MEFs.

(4) Identify and manage risk to continuity programs and plans using the mission assurance construct found in DoDD 3020.40 and DoDI 3020.45 to ensure that continuity operational readiness decisions appropriately consider the probability of an attack or event and its consequences.

(5) Ensure IT supporting the performance of MEFs is robust, reliable, and resilient during cyber degradation. Plans for use of such IT capabilities will be coordinated with supporting IT service providers, address those capabilities critical to the performance of MEFs, and address alternate systems and the continued performance of MEFs when those critical IT capabilities are degraded, unavailable, or unreliable.

c. Ensure that DoD Component continuity programs, at a minimum, address:

(1) The identification and prioritization of essential functions based on:

(a) Examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, and facilities inherent in the execution of a function or requirement.

(b) Identifying the effects of failing to perform a function or requirement.

(2) The identification and prioritization of IT critical to the continued performance of essential functions. This includes:

(a) IT service provider-developed maintenance and restoral procedures for IT capabilities critical to the performance of essential functions.

- (b) Testing and identification, if appropriate, of alternate capabilities.
 - (3) The identification and prioritization of resources (e.g., alternate sites, transportation assets) and critical infrastructure required for the continued performance of essential functions.
 - (4) The integration of mission assurance, cybersecurity, operational security, and telework program requirements, as appropriate.
 - (5) DoD Component order of succession.
 - (6) Pre-planned and emergency delegations of authority, including prescribing the decision process within the DoD Component, including individual positional authority, for executing the Component's continuity plan.
 - (7) DoD Component alternate sites.
 - (8) Essential records.
 - (9) Human resources, including the identification of, and provision for, alert and notification, movement, and annual training of continuity staffs, and orientation or annual awareness training for leadership and non-continuity staff members.
 - (10) Annual tests or exercises, or as otherwise directed, of the DoD Component continuity plan, including supporting resources (e.g., alternate sites, critical IT capabilities with degraded capabilities tested) to evaluate and validate program and plan readiness, and to document findings in a component corrective action program.
 - (11) Devolution of control and direction.
 - (12) Reconstitution.
- d. Ensure that continuity planning supporting the Secretary and Deputy Secretary of Defense will include dedicated access to IT capabilities at the Pentagon and alternate sites. This will include:
- (1) Availability and redundancy of critical IT capabilities to support alternate sites and distributed operations.
 - (2) Dedicated access to mobile IT capabilities during transit between operating locations to provide uninterrupted communications and ensure resilient command and control for the execution of DoD MEFs under all circumstances.
- e. Include operations security considerations in continuity planning in accordance with DoDD 5205.02E to reduce the risk of threats obtaining critical information and indicators relevant to COOP processes, locations, and capabilities.

f. Develop and publish a COOP plan in accordance with this directive and DoDI 3020.42 and on a biennial basis, in November of that year, and submit a signed copy to the DASD(DC&MA) for review.

g. Designate to the USD(P) in writing, through the DASD(DC&MA), a senior official as the DoD Component continuity coordinator and a continuity program manager. As the PSAs, the DoD and OSD Component heads may delegate, through mutual agreements, continuity services to subordinate components; however, responsibility for compliance with this directive remains with the Component head.

(1) The DoD Component continuity coordinator:

(a) Reports directly to the DoD or OSD Component head for management oversight of the Component continuity program.

(b) Is the primary point of contact for coordination within the DoD Component for continuity matters.

(2) The continuity program manager:

(a) Reports directly to the DoD Component continuity coordinator for daily management of the Component continuity program.

(b) Is the alternate point of contact for coordination within the DoD Component for continuity matters.

h. Submit updated and validated emergency relocation group (ERG) rosters to the DASD(DC&MA) no later than the fifth business day of each month.

i. Submit continuity readiness status reports at the request of the DASD(DC&MA), focusing on the critical COOP plan elements identified in Paragraph 2.13.c. The reports will be prepared in accordance with guidance provided by the Office of the ASD(HD&GS).

j. Annually, in November of each year, certify in writing through the DASD(DC&MA) to the DoD Continuity Coordinator that:

(1) The DoD Component continuity program and plan, and any organizations over which they exercise authority, direction, and control, satisfy the requirements of this directive and DoDI 3020.42.

(2) The DoD Component MEFs were reviewed and validated, including the date of the review, and updated or reissued if changes were warranted.

(3) The DoD Component continuity plan was reviewed and validated, including the date of the review, and updated or reissued if changes were warranted.

(4) The DoD Component continuity plan was tested or exercised, including the date of the exercise, and that it entailed the movement of continuity personnel to alternate sites.

(5) Personnel assigned to the ERG have relocated and received training at their respective relocation sites within 12 months of their assignment to the ERG.

2.14. OSD PSAS. The OSD PSAs will review the COOP plans of the Defense Agencies, DoD Field Activities, and other organizations over which they exercise authority, direction, and control, on a biennial basis, and will report the results of that review to the DASD(DC&MA).

2.15. UNDER SECRETARIES OF DEFENSE; CMO; SECRETARIES OF THE MILITARY DEPARTMENTS; AND OTHER PRESIDENTIALLY APPOINTED, SENATE-CONFIRMED OFFICIALS. In addition to the responsibilities in Paragraph 2.13., the Under Secretaries of Defense; the CMO; the Secretaries of the Military Departments; and other Presidentially Appointed, Senate-Confirmed officials, pursuant to DoDD 3020.04, will provide their individual duty status, including location and contact information, whenever outside the Pentagon or NCR for any reason, daily and when changes occur, in accordance with DASD(DC&MA) procedures for daily duty status reporting. This information supports tracking of personnel in the order of succession to the Secretary of Defense.

2.16. SECRETARIES OF THE MILITARY DEPARTMENTS. In addition to the responsibilities in Paragraphs 2.13. and 2.15., the Secretaries of the Military Departments support emergency evacuation and crisis-related operations in the NCR by providing forces, as directed in the United States Northern Command Contingency Plan 3600.

2.17. CJCS. In addition to the responsibilities in Paragraph 2.13., the CJCS:

a. Provides, in coordination with the OSD PSA and supported Combatant Commanders, guidance to the Combat Support Agencies regarding continuity program requirements pertaining to their combat support functions.

b. In coordination with the Military Services and the Combatant Commands, develops and maintains a means to track and contact the CJCS, the Service Chiefs, and Combatant Commanders on a daily basis, and as changes occur.

c. In coordination with the DASD(DC&MA) and Secretary of Defense Communications, maintains a capability to devolve the capabilities identified in Paragraph 2.17.b. during a no-warning crisis when the National Military Command Center is not available in the Pentagon.

d. In coordination with the ASD(HD&GS), on an annual basis reviews a representative sample of Combatant Command continuity plans.

2.18. COMMANDER, UNITED STATES NORTHERN COMMAND. In addition to the responsibilities in Paragraph 2.13., the Commander, United States Northern Command:

a. In coordination with USD(P), the CJCS, and the Commander, United States Transportation Command, develops, maintains and, on order, executes an overarching support plan that enables employment, de-confliction, and synchronization of DoD transportation assets in the NCR in support of established mission-owner emergency relocation and crisis-related plans.

b. Provides guidance and direction to the DoD Components providing assets in support of Paragraph 2.18.a.

GLOSSARY

G.1. ACRONYMS.

ASD(HD&GS)	Assistant Secretary of Defense for Homeland Defense and Global Security
CJCS	Chairman of the Joint Chiefs of Staff
CMO	Chief Management Officer of the Department of Defense
COG	continuity of government
COOP	continuity of operations
DASD(DC&MA)	Deputy Assistant Secretary of Defense for Defense Continuity and Mission Assurance
DoD CIO	DoD Chief Information Officer
DoDD	DoD directive
DoDI	DoD instruction
ECG	enduring constitutional government
ERG	emergency relocation group
IT	information technology
MEF	mission-essential function
NCR	National Capital Region
OSTP	Office of Science and Technology Policy
PMEF	primary mission-essential function
PPD	Presidential Policy Directive
PSA	Principal Staff Assistant
USD(A&S)	Under Secretary of Defense for Acquisition and Sustainment
USD(P)	Under Secretary of Defense for Policy

G.2. DEFINITIONS. These terms and their definitions are for the purpose of this issuance.

COG. A coordinated effort within each branch of the Federal Government to ensure that the national essential functions continue to be performed during a catastrophic emergency.

COOP. An internal effort within each DoD Component to ensure that essential functions continue to be performed during disruption of normal operations.

delegation of authority. Identification, by position, of the authorities for making policy determinations and decisions at headquarters, regional and field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

devolution. The transfer of statutory authority and responsibilities for performance of essential functions from an organization's primary operating staff to other employees internal or external to the organization in order to sustain essential functions for an extended period. Devolution is a continuity option instead of or in conjunction with relocation in order to ensure the continued performance of essential functions.

ECG. A cooperative effort among the executive, judicial, and legislative branches of the Federal Government, coordinated by the President, as a matter of comity to the legislative and judicial branches and the constitutional separation of powers among the branches, to preserve the constitutional framework under which the United States is governed. ECG includes the capability of all three branches of government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of the national essential functions during a catastrophic emergency.

MEFs. Select functions directly related to accomplishing the Department's mission. Failure to perform or sustain these functions, which directly support PMEF, would significantly affect the Department of Defense's ability to provide vital services or exercise authority, direction, and control.

national essential functions. The select functions that are necessary to lead and sustain the United States during a catastrophic emergency and that, therefore, must be supported through COOP, COG, and ECG capabilities.

NCR. The geographic area located within the boundaries of:

The District of Columbia.

Montgomery and Prince Georges Counties in the State of Maryland.

Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia.

All cities and other units of government within the geographic areas of such District, Counties, and City.

order of succession. A formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

OSD Component. One of the offices that compose OSD whose principal reports directly to the Secretary or Deputy Secretary of Defense.

Pentagon Reservation. The Pentagon, the Mark Center Campus, and the Raven Rock Mountain Complex.

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.

reconstitution. The process by which surviving and/or replacement organization personnel resume normal organization operations.

REFERENCES

- DoD Directive 3020.40, "Mission Assurance (MA)," November 29, 2016
- DoD Directive 5111.1, "Under Secretary of Defense for Policy (USD(P)), December 8, 1999
- DoD Directive 5205.02E, "DoD Operations Security (OPSEC) Program," June 20, 2012
- DoD Instruction 3020.42, "Defense Continuity Plan Development," February 17, 2006, certified current as of April 27, 2011
- DoD Instruction 3020.45, "Defense Critical Infrastructure Program (DCIP) Management," April 21, 2008, as amended.
- DoD Instruction 3020.47, "DoD Participation in the National Exercise Program (NEP)," January 29, 2009, as amended
- DoD Manual 8910.01, Volume 1, "DoD Information Collections Manual: Procedures for DoD Internal Information Collections," June 30, 2014
- Memorandum of Agreement between the Assistant Secretary of Defense for Homeland Defense and Global Security and the Assistant Secretary of Defense for Logistics and Materiel Readiness for the Defense Continuity Organizational Transition, January 15, 2016¹
- United States Northern Command Contingency Plan, "Emergency Preparedness in the National Capital Region," November 7, 2008
- Office of Science and Technology Directive 16-1, "Minimum Requirements for Continuity Communications," December 15, 2016
- Presidential Policy Directive-40, "National Continuity Policy," July 15, 2016
- U.S. Department of Homeland Security, Federal Emergency Management Agency, Federal Continuity Directive 1, "Federal Executive Branch National Continuity Program and Requirements," January 17, 2017

¹ Not available for public release.