



Department of Defense **INSTRUCTION**

NUMBER 3002.04

November 17, 2014

Incorporating Change 1, Effective April 27, 2016

USD(P)

SUBJECT: DoD Personnel Recovery – Non-conventional Assisted Recovery (NAR)

References: See Enclosure 1

1. **PURPOSE.** Pursuant to the authority in DoD Directive (DoDD) 5111.1 and DoDD 3002.01 (References (a) and (b)), this instruction:

a. Incorporates and cancels DoD Instruction (DoDI) 2310.6 (Reference (c)), updates established policy, and realigns assigned responsibilities for NAR as an integral part of personnel recovery in the DoD.

b. Prescribes procedures pursuant to section 943 of Public Law 110-417 (Reference (d)) for the development, planning, and integration of NAR within the DoD, in cooperation with intelligence, special operations, and interagency partners.

c. Incorporates and cancels the Under Secretary of Defense for Policy (USD(P)) memorandum (Reference (e)).

2. **APPLICABILITY.** This instruction 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 (CCMDs), 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 instruction as the “DoD Components”).

3. **POLICY.** It is DoD policy that:

a. One of DoD’s highest priorities is to preserve the lives and well-being of U.S. military, DoD civilians, and DoD contractor personnel authorized to accompany the Military Services who are in danger of becoming or are beleaguered, besieged, captured, detained, interned, or otherwise missing or evading capture while participating in U.S.-sponsored activities or missions.

b. Following approval by the USD(P) for the use of funds for NAR activities authorized pursuant to Reference (d), operational approval is required by the Secretary of Defense for the development of NAR capabilities.

c. As with most military operations, NAR activities may generate intelligence and other information that has operational and tactical value. However, funds approved for NAR activities pursuant to this instruction and Reference (d) must be used primarily for NAR purposes and not for intelligence-related activities.

d. Approval to expend funds for NAR activities authorized pursuant to this instruction and Reference (d) does not constitute authority to conduct or support a covert action as defined in section 3093(e) of Title 50, United States Code (Reference (f)).

e. NAR is recognized as an operational activity under preparation of the environment (PE) as defined in joint doctrine and also has broader applications pursuant to Reference (d).

4. RESPONSIBILITIES. See Enclosure 2.

5. RELEASABILITY. **Not cleared for public release.** This instruction is available to users with Common Access Card authorization on the Internet at the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

6. INFORMATION COLLECTION REQUIREMENTS. The authorization of NAR capabilities notification, referred to in paragraphs 1b, 3d, and 4c of Enclosure 2 of this instruction, is submitted to Congress in accordance with section 943 of Reference (d) and is coordinated with the Assistant Secretary of Defense for Legislative Affairs (ASD(LA)) in accordance with the procedures in DoDI 5545.02 (Reference (g)).

7. SUMMARY OF CHANGE 1. The changes to this issuance are administrative and update organizational titles and references for accuracy. Other administrative changes were made to this issuance to reflect amendments made to Reference (d).

8. EFFECTIVE DATE. This instruction is effective November 17, 2014.



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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5111.1, "Under Secretary of Defense for Policy (USD(P))," December 8, 1999
- (b) DoD Directive 3002.01, "Personnel Recovery in the Department of Defense," April 16, 2009, as amended
- (c) DoD Instruction 2310.6, "Non-Conventional Assisted Recovery in the Department of Defense," October 13, 2000 (hereby cancelled)
- (d) Section 943 of Public Law 110-417, "Duncan Hunter National Defense Authorization Act for Fiscal Year 2009," October 14, 2008, as amended
- (e) Under Secretary of Defense for Policy Memorandum, "Revised Department of Defense Procedures to Exercise the Authority Under Section 943 of the Duncan Hunter National Defense Authorization Act (NDAA) for FY 2009, as amended by Section 1205 of the NDAA for FY 2012," September 19, 2012 (hereby cancelled)
- (f) Section 3093(e) of Title 50, United States Code
- (g) DoD Instruction 5545.02, "DoD Policy for Congressional Authorization and Appropriations Reporting Requirements," December 19, 2008
- (h) DoD Instruction O-5100.94, "Oversight, Coordination, Assessment, and Reporting of DoD Intelligence and Intelligence-Related Sensitive Activities," September 27, 2011, as amended
- (i) DoD 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons," December 7, 1982
- (j) DoD Directive S-5210.36, "Provision of DoD Sensitive Support to DoD Components and Other Departments and Agencies of the U.S. Government (U)," November 6, 2008, as amended

ENCLOSURE 2

RESPONSIBILITIES

1. USD(P). After the Secretary of Defense has issued operational approval for the development of NAR capabilities, the USD(P), as the OSD Principal Staff Assistant responsible for overseeing DoD personnel recovery activities:

a. Approves Combatant Commander (CCDR) requests to use funds for NAR activities authorized pursuant to Reference (d). This approval remains in effect as long as the following conditions are met:

(1) The operational intent of the CCDR's NAR concept of operations (CONOPS) has not substantially changed.

(2) The legislative and operational authorities have not expired or changed.

(3) The appropriate Chief of Mission has concurred in the CCDR's CONOPS.

b. Ensures that the congressional defense committees are notified in writing in accordance with Reference (g) when exercising the authority contained in Reference (d).

2. ASSISTANT SECRETARY OF DEFENSE FOR SPECIAL OPERATIONS AND LOW INTENSITY CONFLICT (ASD(SO/LIC)). Under the authority, direction, and control of the USD(P), the ASD(SO/LIC) coordinates operational preparation efforts involving NAR across the Department. The ASD(SO/LIC):

a. Serves as the focal point for developing and overseeing personnel recovery policy, including NAR in accordance with Reference (b).

b. Develops, maintains, and oversees NAR policy for the implementation of Reference (d).

c. Provides recommendations to the USD(P) regarding requests for approval to expend funds authorized for NAR activities pursuant to this instruction and Reference (d).

d. Advises the USD(P) on actions necessary to sustain congressional authority to expend the funds authorized for NAR activities in Reference (d).

e. Prepares NAR-related Clandestine Quarterly Activities Report inputs for the Under Secretary of Defense for Intelligence (USD(I)) in accordance with References (d), (g), and DoDI O-5100.94 (Reference (h)).

f. Represents the USD(P) at forums relating to NAR issues, including forums that address

NAR in the context of the national military strategy development; the Joint Capabilities Integration and Development System; and the oversight of the Planning, Programming, Budgeting, and Execution System.

g. In coordination with the Joint Staff, annually reviews and synchronizes CCDRs' NAR requirements as required to make recommendations to the USD(P) regarding requests for approval to use funds for NAR activities authorized by Reference (d).

h. Provides oversight for the entire NAR program life cycle, from development to sustainment to termination.

4. USD(I). The USD(I):

a. Serves as the liaison between the DoD and the Intelligence Community on matters relating to intelligence support to personnel recovery and NAR.

b. In coordination with the USD(P), the CJCS, and the CCDRs, develops applicable policies and procedures to ensure appropriate intelligence support and intelligence oversight are provided to meet DoD NAR requirements in accordance with DoD 5240.1-R (Reference (i)).

c. Incorporates NAR activity reports and inputs into the Clandestine Quarterly Activities Report (CQ) in accordance with References (d) and (i).

5. DIRECTOR, DEFENSE INTELLIGENCE AGENCY (DIA). As the Defense Human Intelligence Manager and under the authority, direction, and control of the USD(I), the Director, DIA, consults with the Commander, United States Special Operations Command (USSOCOM), to assist in establishing training, education, and standards for the conduct of NAR activities.

6. ASD(LA). The ASD(LA) coordinates congressional engagement requests with the affected parties.

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

a. Ensure personnel recovery training and curricula include NAR as a potential means of recovery.

b. As appropriate, coordinate with Commander, USSOCOM and the other CCDRs to ensure special operations forces' tactics, techniques, and procedures for NAR are integrated into pre-deployment training and Service doctrine.

8. CJCS. The CJCS serves as the principal military advisor to the Secretary of Defense for personnel recovery and PE activities, including the development and use of foreign forces, irregular forces, groups, or individuals to enable U.S. objectives. In addition to personnel recovery responsibilities outlined in Reference (b), the CJCS:

- a. Ensures CCDRs' NAR requests are:
 - (1) Coordinated for operational approval.
 - (2) Consistent with existing Secretary of Defense execute orders (EXORDs).
 - (3) Coordinated with all affected commands, as appropriate.
- b. Designates a NAR management office to conduct the activities listed in Enclosure 3.
- c. Maintains a program element for NAR and, when approved, provides funds to the CCMDs for NAR activities based upon availability and operational priorities.
- d. Communicates NAR operational and fiscal program management decisions and guidance to CCMDs.
- e. Provides funds, as available, to resource CCMDs' NAR requirements that do not require use of funds for NAR activities authorized pursuant to Reference (d).
- f. Provides guidance and establishes procedures for DoD Components to implement this instruction in accordance with Reference (d), subsequent congressional authorizations for the use of appropriated funds for NAR activities, and the Joint Staff programming and budgeting process.
- g. Provides assistance for the coordination of CCMDs' NAR requirements with other U.S. Government agencies to ensure integration of interagency capabilities to enhance DoD personnel recovery.
- h. Integrates NAR into joint doctrine.

9. GEOGRAPHIC CCDRs AND COMMANDER, USSOCOM. The Geographic CCDRs and Commander, USSOCOM:

- a. Designate a command NAR office of primary responsibility.
- b. Conduct the required planning for personnel recovery and determine the need for NAR capabilities.

c. Develop and manage NAR capabilities, integrating other U.S. Government agencies and non-government agencies and, when conditions permit, allied, coalition, and partner nations, as required, to enhance personnel recovery capabilities.

d. Request the assistance of other government agencies as required in DoDD S-5210.36 (Reference (j)) for developing NAR capabilities.

e. Use a classified management system, when such is required by the Joint Staff, to ensure financial accountability and oversight of NAR resources and funding.

f. As required, validate and submit new NAR requests for operational approval prior to developing NAR capabilities or using funds for NAR activities authorized pursuant to this instruction and Reference (d) to the Joint Staff, in accordance with the governing EXORD, Joint Staff guidance, and the procedures in Enclosure 3.

g. Provide reports on the development and sustainment of NAR capabilities for inclusion in the CQ in accordance with References (d) and (i). Ensure NAR activity reports contain the elements listed in section 2 of Enclosure 3.

h. Ensure personnel involved in the expenditure of funds pursuant to Reference (d) have appropriate financial management and procurement training as prescribed by the Joint Staff.

i. Account for property and equipment procured pursuant to Reference (d), in accordance with applicable DoD, Military Department, and CCDR regulations and policy.

j. Annually submit consolidated NAR requirements correspondence to the Joint Staff for programming future years resourcing.

10. COMMANDER, USSOCOM. In addition to the responsibilities in section 9 of this enclosure, the Commander, USSOCOM:

a. Develops applicable strategy, doctrine, tactics, techniques, and procedures for special operations forces development and employment of NAR capabilities.

b. Establishes training, education, and professionalization standards for the conduct of NAR activities in consultation with the Defense Human Intelligence Manager and the CJCS.

c. Ensures preparedness of special operations forces to plan and execute NAR in support of CCDR requirements.

d. Supports the management of CCMD NAR capabilities as required by the CJCS.

ENCLOSURE 3

PROCEDURES

1. All new requests to expend funds pursuant to Reference (d) for NAR activities must include:
 - a. General or flag officer-approved CONOPS.
 - b. Expenditure authorization documents for the execution year plus 4 years (5 total fiscal years).
 - c. Written Chief of Mission concurrence.
2. CCDRs will prepare a quarterly NAR activity report for incorporation in the CQ. This NAR activity report will include the following information:
 - a. The total approved funding transferred to and obligated by the CCDR for NAR activities.
 - b. Operational summary description of the NAR activities.
 - c. Identification of the type of recipients that have or will receive support for NAR activities, including foreign forces, irregular forces, organizations, or individuals, as appropriate.
 - d. The total amount of funds obligated for support of NAR activities by major expenditure category.
 - e. The total amount of funds obligated for support of NAR activities in the prior fiscal year.
 - f. The intended duration of the support to NAR activities.
 - g. Description of support or training provided to each recipient or group.
 - h. Value assessment of the support provided. This assessment may be based upon the CCDR's strategic objectives or CONOPS justification.
 - i. Data collection cost pursuant to Reference (h).
3. The NAR program management office under the authority, direction, and control of the CJCS and the Joint Staff:
 - a. Plans, programs, budgets, and coordinates funds to support the development and sustainment of CCMDs' NAR capabilities.
 - b. Issues guidance on NAR activities that require funds authorized by Reference (d).

- c. Ensures CCMDs' requests for approval to use funds for NAR activities comply with this instruction and the provisions in Reference (d).
- d. Ensures CCMDs have the applicable NAR operational authorities prior to requesting approval from the USD(P) to use funds for NAR activities authorized by Reference (d).
- e. Forwards quarterly NAR reports to the ASD(SO/LIC) for inclusion in the CQ in accordance with Reference (h).
- f. Provides the ASD(SO/LIC) a consolidated annual written statement of the CCDRs' intent to continue resourcing USD(P)-approved NAR requirements, along with the CCDRs' NAR expenditure authorization documents, by June 30 for the coming fiscal year.
- g. Provides guidance on the fiscal management training required to execute and manage NAR program resources.
- h. Provides a single point of contact for NAR CCDR requirements.

GLOSSARY

PART I. ACRONYMS AND ABBREVIATIONS

ASD(LA)	Assistant Secretary of Defense for Legislative Affairs
ASD(SO/LIC)	Assistant Secretary of Defense for Special Operations and Low Intensity Conflict
CCMD	Combatant Command
CCDR	Combatant Commander
CJCS	Chairman of the Joint Chiefs of Staff
CONOPS	concept of operations
CQ	Clandestine Quarterly Activities Report
EXORD	execute order
NAR	non-conventional assisted recovery
USD(I)	Under Secretary of Defense for Intelligence
USD(P)	Under Secretary of Defense for Policy
USSOCOM	United States Special Operations Command

PART II. DEFINITIONS

NAR. For purposes of this instruction, NAR is a component of the CCDR's personnel recovery capabilities executed through the use of human and/or physical infrastructure in areas where conventional means are neither suitable, feasible, nor available. NAR activities are conducted by those entities that are trained or capable, supported, and directed to conduct personnel recovery through mechanisms, infrastructures, or procedures.