



Department of Defense **INSTRUCTION**

NUMBER 3020.39
September 12, 2008

USD(I)

SUBJECT: Integrated Continuity Program for the Defense Intelligence Enterprise (DIE)

References: See Enclosure 1

1. **PURPOSE.** This Instruction:

a. Reissues DoD Instruction 3020.39 (Reference (a)).

b. Implements policy, assigns responsibilities, and provides guidance for comprehensive, effective, and integrated continuity programs, plans, and capabilities for the DIE pursuant to DoD Directive (DoDD) 3020.26 and DoDI 3020.42 (References (b) and (c), respectively) under the authority of DoDD 5143.01 (Reference (d)).

c. Amplifies guidance in References (b) and (c) as well as DoD S-3020.26-P (Reference (e)) for the integration and coordination of programs, plans, and capabilities across the DIE; with the Defense Continuity Program; and with the Intelligence Community through the Office of the Director of National Intelligence.

d. Charters the Defense Intelligence Mission Assurance Integration Group (DIMAIG).

2. **APPLICABILITY.** This Instruction:

a. Applies to the Office of the Secretary of Defense, 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 in the Department of Defense.

b. Applies specifically to the Defense Intelligence, Security, and Counterintelligence Components, as well as the intelligence elements of the Military Departments and Combatant Commands that, for the purpose of this Instruction, are hereafter referred to as the “components of the DIE.”

3. DEFINITIONS. See Glossary.

4. POLICY. Consistent with DoD Directive 3020.26 (Reference (b)), it is DoD policy that:
 - a. The DIE shall conceptualize, plan, and program for the development of integrated Defense Intelligence capabilities to support the President, Secretary of Defense, Director of National Intelligence, and warfighting components of the Department of Defense to support the accomplishment of DoD minimum essential functions, under all circumstances and across the spectrum of threats.

 - b. Nothing in this Instruction shall be construed to alter or abrogate the statutory responsibilities or authorities of the Director of National Intelligence relating to Intelligence Community continuity programs.

5. RESPONSIBILITIES. See Enclosure 2.

6. INFORMATION REQUIREMENTS. Intelligence continuity plans, including all response mechanisms and reporting requirements referred to in this Instruction, are exempt from licensing in accordance with paragraphs C4.4.2. – C4.4.4. of DoD 8910.1-M (Reference (f)).

7. RELEASABILITY. UNLIMITED. This Instruction is approved for public release. Copies may be obtained through the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Instruction is effective immediately.



James R. Clapper, Jr.
Under Secretary of Defense for Intelligence

Enclosures

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ENCLOSURE 1

REFERENCES

- (a) DoD Instruction 3020.39, "Integrated Continuity Planning for Defense Intelligence," August 3, 2001 (hereby canceled)
- (b) DoD Directive 3020.26, "Defense Continuity Program (DCP)," September 8, 2004
- (c) DoD Instruction 3020.42, "Defense Continuity Plan Development," February 17, 2006
- (d) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I)),", November 23, 2005
- (e) DoD S-3020.26-P, "Department of Defense Headquarters Continuity Plan (U)," March 21, 2007¹
- (f) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
- (g) DoD Directive 3020.44, "Defense Crisis Management," June 4, 2007
- (h) National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20, "National Continuity Policy," May 9, 2007²
- (i) Defense Continuity Strategy, March 1, 2006³
- (j) Strategy for Homeland Defense and Civil Support, June 2005⁴

¹ This document is classified and may be obtained by authorized users on the SIPRNET DoD Issuances Web Site at <http://www.dtic.smil.mil/whs/directives> or by contacting OUSD(P) at 703-571-9255.

² This document is available at <http://www.whitehouse.gov/news/releases/2007/05/20070509-12.html>

³ This document is classified and is available on the SIPRNET at <http://webhost.policy.osd.pentagon.smil.mil>

⁴ This document is available at <http://www.defenselink.mil>

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE (USD(I)). Pursuant to Reference (d), the USD(I) shall:

- a. Provide oversight and guidance to the DIE continuity programs.
- b. Provide oversight and guidance to Defense Intelligence support to defense crisis management in accordance with DoDD 3020.44 (Reference (g)).
- c. Coordinate ongoing assessments of DIE-wide risks, threats, and vulnerabilities and the identification of solutions to eliminate or mitigate the same.
- d. Coordinate the identification, integration, and implementation of mission essential functions (MEF) across the components of the DIE.
- e. Establish and provide coordination and oversight to an integrated exercise program to evaluate and assure DIE readiness on an annual basis.
- f. As appropriate, coordinate with components of the DIE to assess, identify, validate, and program for continuity requirements that impact DIE.
- g. Designate, in writing, a senior official as the Senior Accountable Official (SAO) for DIE continuity and crisis management (CM), who is accountable to the USD(I) for managing and overseeing DIE continuity policy and policy implementation and DIE crisis management on behalf of the USD(I) and pursuant to Reference (b).
- h. Designate a DIE continuity point of contact (POC) for coordination within DIE regarding continuity-related matters. The DIE POC will serve as the Office of the USD(I) (OUSD(I)) POC for the components of the DIE who have questions regarding continuity and CM.
- i. Establish a DIMAIG.
 - (1) This forum is chartered to provide broad oversight, management, and coordination of continuity programs, plans, and capabilities across DIE and with the Defense and Intelligence continuity programs.
 - (2) The SAO shall serve as the Chair of the DIMAIG and provide reports from the working group as appropriate.
 - (3) Membership shall include representatives from components of the DIE who are full-time federal employees.

j. In consultation with the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs, Defense Continuity and Crisis Management (ASD(HLD/ASA)/DCCM), and the Director of National Intelligence, review and assess continuity plans of the components of the DIE every 2 years.

k. Provide the ASD(HLD/ASA)/DCCM with copies of the annual status reports and biennial assessment reports of the components of the DIE.

2. SECRETARIES OF THE MILITARY DEPARTMENTS, CHAIRMAN OF THE JOINT CHIEFS OF STAFF, AND DEFENSE AGENCY AND DoD FIELD ACTIVITY DIRECTORS.

The Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, and the Directors of the Defense Agencies and DoD Field Activities shall ensure that the Heads of their respective components of the DIE and the intelligence, counterintelligence, and security heads of the Defense Agencies and DoD Field Activities shall:

a. Plan for survival, recovery, and reconstitution of their MEF.

b. Develop, coordinate, and maintain integrated continuity plans that, at a minimum:

(1) Support and comply with the overarching requirements of Reference (b), especially in regard to the requirement to plan for the execution of continuity plans with no warning.

(2) Support the National Continuity Policy (Reference (h)) and comply with the Defense Continuity Strategy (Reference (i)) and subsequent implementation memorandums.

(3) Are coordinated, as applicable, across the DIE and with the OUSD(I) SAO to ensure integrated capabilities of the components of the DIE to support the Secretary of Defense and the Director of National Intelligence.

d. Conduct assessments and exercises at all levels to validate the completeness, readiness, and effectiveness of Defense Intelligence continuity planning.

e. Identify, mitigate, eliminate, or assume vulnerabilities or shortfalls in continuity planning or capabilities, especially those that may impact across the DIE.

f. Plan and document the continuity of support to other components of the DIE where it is both regularly provided and deemed mission critical to the supported component.

g. Biennially, or more frequently if warranted, review continuity programs and plans.

h. Submit annual program status reports to USD(I), attention the SAO. (See Enclosure 3.) Status reports will broadly identify progress, key initiatives, vulnerabilities, or shortfalls in continuity planning or capabilities and provide the basis for DIE input to the national and DoD continuity implementation plans.

i. Schedule participation in appropriate national and DoD exercises and conduct annual testing and evaluation of continuity plans.

j. Designate, in writing, a senior official for component continuity management to manage, oversee, and ensure continuity readiness and compliance with reference directives.

k. Designate a DIMAIG POC for coordination of component mission assurance and continuity programs, plans, and programs with the DIE.

ENCLOSURE 3

ANNUAL CONTINUITY STATUS REPORT

Organization:

| |
|-------------------------|
| Progress: |
| Key Initiatives: |
| Vulnerabilities: |
| Shortfalls: |
| Other: |

| Assessment Area | Program Plans/Procedures | Budgeting and Acquisition of Resources | Essential Functions | Orders of Succession | Delegations of Authority | Continuity Facilities | Continuity Communications | Vital Records Management | Human Capital | Test, Training, & Exercise Program | Devolution of Control and Direction | Reconstitution Operations |
|-----------------|--------------------------|--|---------------------|----------------------|--------------------------|-----------------------|---------------------------|--------------------------|---------------|------------------------------------|-------------------------------------|---------------------------|
| Organization | | | | | | | | | | | | |

| | | | | |
|--------------------|--|--|--|------|
| | No Progress | ←————→ | Objective Achieved | |
| Explanation | 0-49%: Low Range: | 50-79%: Mid Range: | 80-99%: Upper Range: | |
| | <ul style="list-style-type: none"> Minimum progress has been made toward achieving the identified objective. One or more critical tasks may not be completed. Preliminary efforts may have been initiated. Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the objective. Strategies for closing gaps and overcoming barriers to success are being developed and initiated. Work may have begun on strategies to resolve weaknesses and barriers that persist and prevent success. Insurmountable barriers may exist and challenges that could potentially undermine achievement may exist and might not yet been resolved. | <ul style="list-style-type: none"> Significant efforts are underway and specific examples of progress in this area can be identified. All critical tasks have been completed. Strategies for closing gaps and overcoming barriers to success are being implemented and clear progress has been made. Efforts to achieve this objective are established and stable. Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well underway. | <ul style="list-style-type: none"> Efforts within this continuity element are mature. All critical tasks have been completed. Few gaps or barriers to success remain. None are significant. Evidence documenting this level of progress is readily available. Efforts within this area may include addressing lessons learned from exercises or events when this element of capability was tested and demonstrated. Strengths are robust and likely to be sustained. | |
| | 0-49% | 50-79% | 80-99% | 100% |
| | RED | YELLOW | GREEN | |

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

| | |
|---------|--|
| CM | crisis management |
| DIE | Defense Intelligence Enterprise |
| DIMAIG | Defense Intelligence Mission Assurance Integration Group |
| DoDD | Department of Defense Directive |
| DoDI | Department of Defense Instruction |
| MEF | mission essential functions |
| OUSD(I) | Office of the Secretary of Defense for Intelligence |
| POC | point of contact |
| SAO | Senior Accountable Official |

PART II. DEFINITIONS

CM. Defined in Reference (g).

Defense Intelligence. Defined in Reference (d).

DIE. For the purpose of this Instruction, the DIE includes the intelligence combat support agencies, the intelligence components of the Military Services and Combatant Commands, and DoD intelligence, counterintelligence, and security organizations (e.g., Defense Security Service).

DIMAIG. For the purpose of this Instruction, the forum chartered to provide broad oversight, management, and coordination of continuity programs, plans, and capabilities across DIE and with the defense and intelligence continuity programs.

MEF. Defined in Reference (b).

mission assurance. Defined in “Strategy for Homeland Defense and Civil Support” (Reference (j)).