



# Department of Defense INSTRUCTION

NUMBER 3020.38

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USD(P)

SUBJECT: Promulgation and Administration of OSD Crisis Action Packages (CAPs)

- References:
- (a) Executive Order 12656, "Assignment of Emergency Preparedness Responsibilities," November 18, 1988
  - (b) [DoD Directive 3020.36](#), "Assignment of National Security Emergency Preparedness (NSEP) Responsibilities to the DoD Components," November 2, 1988
  - (c) DoD 3020.36-P, "Master Mobilization Plan," May 1988, authorized by DoD Directive 3020.36, November 2, 1988
  - (d) DoD 5200.1-R, "Information Security Program Regulation," June 1986 authorized by [DoD Directive 5200.1](#), June 7, 1982

## 1. PURPOSE

This Instruction:

1.1. Establishes the OSD CAP system to enhance training, readiness posture, and continuity under the authority of reference (b).

1.2. Establishes policy, assigns responsibility, and prescribes procedures for development and maintenance of the CAPs and provides for general administration of those packages.

## 2. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD).

## 3. DEFINITION

Crisis Action Package (CAP). A set of documents that facilitate the assembly of essential elements of information and provide specific guidance on likely issues and decisions that could confront the Secretary of Defense and other OSD officials during a crisis. Each CAP contains background information on legal authorities and coordination requirements as well as draft copies of specific implementing documents that can be quickly adapted in response to an emergency situation.

#### 4. POLICY

It is DoD policy that:

4.1. Each OSD component shall share the general responsibilities for crisis management preparedness, planning, and execution.

4.2. CAPs should focus on those potential crisis-related events that could require rapid development of a DoD position on which to base recommendations to the Secretary of Defense.

4.3. Alternatives, processes, and issues to be considered during various stages of national security emergencies shall be integral parts of each CAP.

#### 5. RESPONSIBILITIES

5.1. The Under Secretary of Defense for Policy (USD(P)) shall:

5.1.1. Establish and promulgate CAP system policy.

5.1.2. Designate OSD proponents for CAPs.

5.2. The Director, Crisis Coordination Center, shall:

5.2.1. Issue appropriate administrative and editorial guidance to originators.

5.2.2. Maintain master and reference files.

5.2.3. Provide for review of new and currently existing CAPs to ensure compliance with this Instruction.

5.2.4. Develop and maintain an automated database interfacing CAPs with related presidential emergency action documents (PEADs), Federal Emergency

Management Agency (FEMA) major emergency actions (MEAs), and Joint Staff fact sheets.

5.3. The OSD Components shall:

5.3.1. Develop and maintain CAPs necessary to provide, on no-notice or short notice, the information required to develop accurate and timely recommendations.

5.3.2. Review their responsibilities as established in E.O. 12656, DoD Directive 3020.36, and DoD 3020.36-P (references (a), (b), and (c)) to determine CAP requirements.

5.3.3. Review responsibilities in reference (b) and by no later than July 1 of each year ensure that all necessary CAPs have been developed and that all existing CAPs are current and in compliance with this Instruction.

5.3.4. Ensure the accuracy, objective content, and completeness of CAPs.

5.3.5. Submit each CAP to the General Counsel of the Department of Defense (GC, DoD) to ensure legal sufficiency.

5.3.6. Maintain an historical file and background on each CAP for which they are responsible.

5.3.7. Determine classification, downgrading, and declassification markings in accordance with DoD 5200.1R, "Information Security Program Regulation," June 1986, (reference (d)).

5.3.8. Prepare and submit CAPs and revisions in final form to the Director, Crisis Coordination Center.

5.3.9. Review CAPs after each crisis and before each major exercise (at least annually) to ensure all information and procedures are current.


## 6. PROCEDURES

6.1. CAPs shall be reviewed annually during the anniversary month of the basic publication. This review shall be performed by the OSD proponent for the CAP. The Director, Crisis Coordination Center, shall forward a memorandum reminding the originator that an annual review is due.

6.2. CAPs shall be administratively reissued every 3 years whether or not changes have been formally promulgated in the interim to the basic document.

7. EFFECTIVE DATE

This Instruction is effective immediately.

  
Paul Wolfowitz  
Under Secretary of Defense for Policy

Enclosures - 1

E1. Format for Crisis Action Packages

E1. ENCLOSURE 1  
FORMAT FOR CRISIS ACTION PACKAGES

TITLE:

OSD PROPONENT:

DECISION LEVEL:

PURPOSE:

BACKGROUND:

LEGAL AUTHORITIES:

PREREQUISITE ACTION:

ACTION REQUIRED:

ALTERNATIVES:

IMPACT ON OTHER ACTIONS:

EXPECTED BENEFITS:

EXPECTED COSTS:

RELATED ACTIONS:

INTERNAL COORDINATION REQUIRED:

EXTERNAL COORDINATION REQUIRED:

RELATED CRISIS PACKAGES:

(E.g., Presidential Emergency Action Documents (PEADs,) Federal Emergency Management Agency's (FEMA's) Major Emergency Actions (MEAs), and Joint Staff fact sheets.

(To be completed by the CCC after CAP submitted.)

TABS: