



Department of Defense

DIRECTIVE

NUMBER 5111.1

December 8, 1999

DA&M

SUBJECT: Under Secretary of Defense for Policy (USD(P))

References: (a) Title 10, United States Code

- (b) DoD Directive 5111.1, "Under Secretary of Defense for Policy (USD(P))," March 22, 1995 (hereby canceled)
- (c) DoD Directive 5530.3, "International Agreements," June 11, 1987
- (d) DoD Directive 5134.1, "Under Secretary of Defense for Acquisition and Technology," September 17, 1999
- (e) DoD Directive 5134.8, "Assistant to the Secretary of Defense for Nuclear and Chemical and Biological Defense Programs," June 8, 1994
- (f) DoD 5025.1-M, "DoD Directives System Procedures," August 1994
- (g) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993

1. REISSUANCE AND PURPOSE

Pursuant to the authorities provided in reference (a), this Directive reissues reference (b) in order to update the responsibilities, functions, relationships, and authorities of the USD(P) as prescribed herein.

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense (IG, DoD), 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. RESPONSIBILITIES AND FUNCTIONS

3.1. The Under Secretary of Defense for Policy is the principal staff assistant and advisor to the Secretary of Defense and the Deputy Secretary of Defense for all matters on the formulation of national security and defense policy and the integration and oversight of DoD policy and plans to achieve national security objectives and shall:

3.1.1. Represent the Department of Defense, as directed, in matters involving the National Security Council (NSC); the Department of State; and the other Federal Departments, Agencies, and inter-Agency groups with responsibility for national security policy.

3.1.2. Serve as a member of the NSC Deputies Committee; serve as a member of the Deputies Committee for Crisis Management; and advise the Secretary of Defense on crisis prevention and management, including contingency planning for major areas of concern.

3.1.3. Develop DoD policy for defense-related international negotiations and represent the DoD in those negotiations unless otherwise directed.

3.1.4. Develop and coordinate DoD policy and positions for international negotiations on arms control implementation and/or compliance issues.

3.1.5. Develop DoD policy on the conduct of alliances and defense relationships with foreign governments, their military establishments, and international organizations; integrate and oversee plans and programs undertaken with those alliances and defense relationships.

3.1.6. Develop, coordinate, and oversee the implementation of international security strategy and policy; political-military policy on issues of DoD interest relating to foreign governments and their defense establishments, to include arrangements for U.S. military facilities, access and operating rights, and status of forces; and policy on prisoners of war and missing in action (POW/MIA).

3.1.7. Develop, coordinate, and oversee the implementation of DoD policy and plans for defense security assistance.

3.1.8. Develop, coordinate, and oversee the implementation of DoD policy to reduce and counter the threat to the United States, U.S. Armed Forces, and U.S. allies, from weapons of mass destruction and other militarily significant technologies and force capabilities, to include counter-proliferation policy, arms control policy, and security policy.

3.1.9. Provide DoD policy oversight of all DoD activities related to international technology transfer. Develop, coordinate, and provide policy direction and overall management, including supervision of the Deputy Under Secretary of Defense for Technology Security Policy, for the DoD Technology Security Program and policy on international technology transfer, to include export controls, dual-use and munitions licensing, arms cooperation programs, and support for enforcement and intelligence systems.

3.1.10. Develop, coordinate, and oversee the implementation of DoD strategy and policy for deployment and employment of strategic and theater nuclear offensive forces, missile defense forces; and review and evaluate plans, programs, and systems requirements for such forces and systems to ensure consistency with the strategy and policy.

3.1.11. Assist the Secretary of Defense in development of national security and defense strategy; advise on the forces necessary to implement that strategy, to include serving as the principal advisor for the planning phase of the DoD Planning, Programming, and Budgeting System and for monitoring the degree to which the DoD program underwrites the strategy; and assist the Secretary of Defense in preparing written DoD policy guidance for the preparation and review of operational and contingency plans, including those for nuclear and conventional forces, and in reviewing such plans.

3.1.12. Develop DoD policy guidance, provide overall supervision, and provide oversight of planning, programming, budgeting, and execution of special operations activities, including civil affairs and psychological operations, and of low-intensity conflict activities, including counter-terrorism, support to insurgency, and contingency operations.

3.1.13. Develop, coordinate, and oversee the implementation of DoD policy for the defense and military aspects of the promotion of constitutional democracy and respect for human rights in other countries, U.S. participation in peace operations, and in humanitarian assistance.

3.1.14. Develop, coordinate, and oversee the implementation of DoD drug control policy, to include planning, programming, and budgeting for the DoD counter-drug mission.

3.1.15. Provide mid- and long-range DoD policy planning on strategic security matters and emerging national security issues; develop and oversee the implementation of a comprehensive strategy toward Russia, Ukraine, and other newly independent states of Eurasia; plan and oversee the conduct of net assessments and policy research activities and programs.

3.1.16. Develop, coordinate, and oversee the implementation of DoD policy for international security countermeasures activities of the Department of Defense;

administer for the DoD the National Disclosure Policy, the Foreign Disclosure and Technical Information System, the Foreign Visits Program, and the U.S. Visitor International Technology Program.

3.1.17. Serve as the U.S. Security Authority for the North Atlantic Treaty Organization (NATO), and the primary focal point for staff coordination on those matters both internal and external to the Department of Defense.

3.1.18. Develop DoD policy and provide oversight for emergency planning and preparedness, crisis management, defense mobilization in emergency situations, military support to civil authorities, civil defense, and continuity of operations and government.

3.1.19. Develop policy, coordinate and oversee DoD participation in, and provide staff supervision over special and sensitive activities including the Operations and Support Special Access Program Central Office, and support to the Special Access Program Oversight Committee structure and arms control countermeasures for non-proliferation initiatives; and oversight of the Defense Sensitive Support program.

3.1.20. In coordination with the Office of the General Counsel and in accordance with section 12. of DoD 5530.3 (reference (c)) authorize the negotiation and conclusion of international agreements and delegate authority to the Heads of DoD Components to approve negotiation and conclusion of categories of international agreements.

3.1.21. Perform such other functions, as the Secretary of Defense may prescribe.

4. RELATIONSHIPS

4.1. In the performance of assigned functions and responsibilities, the USD(P) shall:

4.1.1. Report directly to the Secretary of Defense and the Deputy Secretary of Defense.

4.1.2. Exercise authority, direction, and control over the following:

4.1.2.1. The Principal Deputy Under Secretary of Defense for Policy (PDUSD(P)).

4.1.2.2. The Assistant Secretary of Defense for International Security Affairs (ASD(ISA)).

4.1.2.3. The Assistant Secretary of Defense for Strategy and Threat Reduction (ASD(S&TR)).

4.1.2.4. The Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict (ASD(SOLIC)).

4.1.2.5. The Defense Advisor, U.S. NATO.

4.1.2.6. The Director, Defense Security Cooperation Agency, through the ASD(ISA).

4.1.2.7. The Deputy Under Secretary of Defense for Technology Security, through the ASD(S&TR) for all matters relating to technology security, technology transfer, and export control policy.

4.1.2.8. The Director of the Defense POW/MIA Office, through the ASD(ISA).

4.1.2.9. The Director of Net Assessment.

4.1.2.10. Other such subordinate officials, as may be assigned.

4.1.3. Coordinate and exchange information with other OSD officials, the Heads of the DoD Components, and Federal officials having collateral or related functions.

4.1.4. Use existing facilities and services of the Department of Defense and the other Federal Agencies, when possible, to avoid duplication and achieve maximum efficiency and economy.

4.2. Matters concerning DoD nuclear, chemical, and biological issues will be coordinated with the USD(A&T) consistent with DoD Directives 5134.1 (reference (d)) and 5134.8 (reference (e)).

4.3. The other OSD officials and the Heads of the DoD Components shall coordinate with the USD(P) on all matters related to the responsibilities and functions cited in section 3., above.

5. AUTHORITIES

The USD(P) is hereby delegated authority to:

5.1. Issue DoD Instructions, DoD publications, and one-time directive-type memoranda, consistent with DoD 5025.1-M (reference (f)), that implement policy

approved by the Secretary of Defense in assigned areas of responsibility. Instructions to the Military Departments shall be issued through the Secretaries of the Military Departments. Instructions to the Combatant Commands shall be communicated through the Chairman of the Joint Chiefs of Staff.

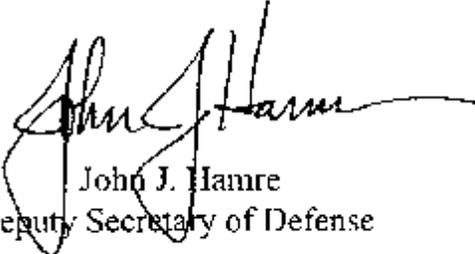
5.2. Obtain reports, information, advice, and assistance, consistent with DoD Directive 8910.1 (reference (g)), as necessary to carry out assigned functions.

5.3. Communicate directly with the Heads of the DoD Components. Communications to the Commanders of the Combatant Commands shall be transmitted through the Chairman of the Joint Chiefs of Staff.

5.4. Communicate with other Government officials, representatives of the Legislative Branch, members of the public, and representatives of foreign governments, as applicable, in carrying out assigned functions.

6. EFFECTIVE DATE

This Directive is effective immediately.



John J. Hamre
Deputy Secretary of Defense