



NOV 10 1993

Department of Defense
DIRECTIVE

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AD-A272 203

February 12, 1992
NUMBER 5137.1



DA&M

SUBJECT: Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I))

- References:
- (a) Title 10, United States Code
 - (b) DoD Directive 5137.1, subject as above, March 27, 1990 (hereby canceled)
 - (c) Title 44, United States Code
 - (d) Executive Order 12356, "National Security Information," April 2, 1982
 - (e) through (n), see enclosure 1

A. REISSUANCE AND PURPOSE

Under the authority vested in the Secretary of Defense by reference (a), this Directive reissues reference (b) to update the responsibilities, functions, relationships, and authorities of the ASD(C3I), as prescribed herein.

B. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Combatant Commands, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

C. RESPONSIBILITIES

The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall have as his principal duty the overall supervision of C3I affairs of the Department of Defense. The ASD(C3I) is the principal staff assistant and advisor to the Secretary and Deputy Secretary of Defense for C3I, information management (IM), counter-intelligence (CI), and security countermeasures (SCM) matters, including warning, reconnaissance, and intelligence and intelligence-related activities conducted by the Department of Defense.

D. FUNCTIONS

In the exercise of assigned responsibilities, the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

1. Serve as principal staff assistant in carrying out the responsibilities of the Secretary of Defense as Executive Agent for the National Communications System.

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2. Serve as the Department's senior IM official pursuant to Section 3506(b) of 44 U.S.C. (reference (c)); implement the Defense IM program, the Defense corporate IM initiative, and the principles of corporate IM throughout the Department of Defense; and ensure the proper integration of DoD computing, systems security, telecommunications, and IM activities.

3. Conduct and account for any acquisitions made pursuant to a delegation of authority under Section 111 of the Federal Property and Administrative Services Act (40 U.S.C. 759), in accordance with Section 3506(c)(4) of 44 U.S.C. (reference (c)).

4. Serve as the Department's senior information security official pursuant to Section 5.3(a) of E.O. 12356 (reference (d)).

5. Serve as the principal DoD official responsible for establishing software policy and practices, but shall not be responsible for computer resources, both hardware and software, that are: physically part of, dedicated to, or essential in real time to the mission performance of weapon systems; used for weapon system specialized training, simulation, diagnostic test and maintenance, or calibration; or used for research and development of weapon systems.

6. Establish and implement IM policy, processes, programs, and standards to govern the development, acquisition, and operation of automated data processing (ADP) equipment by the Department of Defense, but shall not be responsible for ADP equipment that is an integral part of a weapon or weapon system, test support for a weapon or weapon system, or information technology basic research and development.

7. Chair the Major Automated Information System Review Council (MAISRC). The ASD(C3I) shall operate the MAISRC in a manner consistent with the acquisition policies in DoD Directive 5000.1 (reference (e)) and, for automated information system programs below the Defense Acquisition Board thresholds, independently of the Defense Acquisition Board (DAB).

8. Provide program management for the General Defense Intelligence Program, the Foreign Counterintelligence Program, and the Security and Investigative Activities Program.

9. Serve as the principal DoD official responsible for preparing and defending the Department's C3I, CI, SCM, and IM programs before the Congress.

10. Review and advise the Secretary of Defense on C3I, CI, SCM, and IM plans and programs; review and recommend requirements and priorities to ensure that DoD requirements are fully considered in the development of these plans and programs; monitor and evaluate the responsiveness of such programs to DoD requirements, particularly their readiness to support military operations.

11. Provide guidance, and management and technical oversight for all C3I, CI, SCM, and IM projects, programs, and systems being acquired by, or for the use of, the Department of Defense and its Components.

12. Oversee applicable training and career development programs to ensure that trained manpower is available to support DoD C3I, CI, SCM, and IM mission needs, including manpower requirements for projected systems.

13. Recommend, advise, and provide assistance to other OSD staff elements on C3I, CI, SCM, and IM matters relevant to the execution of their assigned responsibilities, including the execution of DoD-wide programs to improve standards of performance, economy, and efficiency.

14. Assess the responsiveness of intelligence products to DoD requirements.

15. Promote coordination, cooperation, and cross-Service management of joint C3I, IM, CI, and SCM programs to ensure essential interoperability is achieved within the Department of Defense and between the Department of Defense and other Federal Agencies and the civilian community.

16. Participate, as appropriate, in the DoD planning, programming, and budgeting system for C3I, IM, CI, and SCM activities by reviewing proposed DoD resource programs, formulating budget estimates, recommending resource allocations and priorities, and monitoring the implementation of approved programs.

17. Establish policy and provide direction to the DoD Components on all matters concerning the assigned functional areas in paragraph D.17.a. through z., below; serve as the primary focal point for staff coordination on these matters within the Department of Defense, with other Government Departments and Agencies, and with foreign governments and international organizations to which the United States is party; and provide DoD representation to foreign governments and intergovernmental and international organizations when dealing with these matters.

a. Strategic, theater, and tactical nuclear and conventional command and control.

b. Information networks.

c. C3I-related space systems.

d. Special technology and systems.

e. Telecommunications.

f. Identification, navigation, and position fixing systems.

g. Strategic C3 countermeasures.

h. Air traffic control and airspace management.

i. Surveillance, warning, and reconnaissance architectures.

j. North Atlantic Treaty Organization C3I architectures and systems.

k. Information systems security.

- l. Intelligence programs, systems, and equipment.
 - m. National Communications System activities.
 - n. Radio frequency policy and management.
 - o. Mapping, charting, and geodesy.
 - p. Integration and/or interface of national and tactical C3I systems and programs.
 - q. C3I, IM, CI, and SCM career development, including DoD foreign language training.
 - r. Information management activities.
 - s. Counter-narcotics C3I activities.
 - t. C3I, IM, CI, and SCM technology programs and activities.
 - u. Counterintelligence operations and investigations policy and programs.
 - v. Defense investigative activities, to include personnel security investigations, unauthorized disclosures of classified information, and polygraph examinations.
 - w. Security countermeasures activities, to include physical security, personnel security, industrial security, and security classification and safeguards policy and programs.
 - x. Operations security and counterimagery security.
 - y. Security-related research, including personnel security and polygraph activities.
 - z. Data and information systems standardization programs, including DoD-wide data administration.
18. Perform such other duties as the Secretary of Defense may assign.

E. RELATIONSHIPS

- 1. In the performance of all assigned duties, the ASD(C3I) shall:
 - a. Report directly to the Secretary and Deputy Secretary of Defense.
 - b. Exercise direction, authority, and control over: the Defense Information Systems Agency, the Defense Intelligence Agency, the Defense Mapping Agency, the Defense Investigative Service, the Defense Support Project Office, the Intelligence Program Support Group, the Defense Polygraph Institute, the DoD Security Institute, and the Defense Personnel Security Research Center.

c. Exercise staff supervision over: the National Security Agency/Central Security Service, the Air Force and Navy Special Intelligence Programs, the Electromagnetic Compatibility Analysis Center, and the Defense Courier Service.

d. Coordinate and exchange information with other OSD officials and heads of DoD Components exercising collateral or related functions.

e. Use existing facilities and services of the Department of Defense and other Federal Agencies, when practicable, to avoid duplication and to achieve maximum readiness, sustainability, efficiency, and economy.

f. Work closely with the Director of Central Intelligence to ensure effective complementarity and mutual support between DoD intelligence programs, including DoD programs in the National Foreign Intelligence Program, and non-DoD intelligence programs.

2. ASD(C3I) acquisition-related activities shall be subject to review by the DAB in accordance with DoD Directive 5000.1 (reference (e)) and DoD Directive 5000.49 (reference (f)), and shall be subject to the authority of the USD(A) delegated by the Secretary or Deputy Secretary of Defense.

3. Other OSD officials and heads of the DoD Components shall coordinate with the ASD(C3I) on all matters related to the functions cited in section D., above.

F. AUTHORITIES

1. The ASD(C3I) is hereby delegated authority to:

a. Issue DoD Instructions, DoD publications, and one-time directive-type memoranda, consistent with DoD 5025.1-M (reference (g)), that implement policies approved by the Secretary of Defense in assigned fields of responsibility. Instructions to the Military Departments shall be issued through the Secretaries of those Departments. Instructions to Unified or Specified Combatant Commands shall be communicated through the Chairman of the Joint Chiefs of Staff.

b. Obtain reports, information, advice, and assistance, consistent with DoD Directive 7750.5 (reference (h)), as necessary, in carrying out assigned functions.

c. Communicate directly with heads of the DoD Components. Communications to the Commanders in Chief of the Unified and Specified Combatant Commands shall be transmitted through the Chairman of the Joint Chiefs of Staff.

d. Communicate with other Government Agencies, the Executive Office of the President, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

e. Establish arrangements and appoint representation for DoD participation in non-defense governmental programs for which the ASD(C3I) is assigned DoD cognizance, to include national-level committees.

f. Waive Federal Information Processing Standards, granted by the Secretary of Commerce Memorandum (reference (i)). The ASD(C3I) may redelegate this authority to the senior officials of the Military Departments designated pursuant to Section 3506(b) of reference (c). This authority is subject to the conditions specified in the procedures of reference (i).

g. Make original security classification determinations at the Top Secret level in accordance with E.O. 12356 (reference (d)). This authority may be redelegated, as appropriate, and in writing, pursuant to Section 1.2(d)(2) of reference (d).

h. Waive use of Ada programming language, pursuant to DoD Directive 3405.1 (reference (j)).

2. The ASD(C3I) also is hereby delegated the authorities contained in enclosure 3 of DoD Directive 5105.19 (reference (k)), enclosure 1 of DoD Directive 5105.21 (reference (i)), enclosure 2 of DoD Directive 5105.40 (reference (m)), and enclosure 2 of DoD Directive 5105.42 (reference (n)). The ASD(C3I) may modify, terminate, or redelegate these authorities, in whole or in part, as appropriate, and in writing, except as otherwise provided by law or regulation.

G. EFFECTIVE DATE

This Directive is effective immediately.



D. J. Atwood
Deputy Secretary of Defense

Enclosure
References

REFERENCES, continued

- (e) DoD Directive 5000.1, "Defense Acquisition," February 23, 1991
- (f) DoD Directive 5000.49, "Defense Acquisition Board," September 11, 1989
- (g) DoD 5025.1-M, "DoD Directives System Procedures," December 1990, authorized by DoD Directive 5025.1, December 23, 1988
- (h) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986
- (i) Secretary of Commerce Memorandum, "Procedures for Waivers for the Federal Information Processing Standards," November 14, 1988
- (j) DoD Directive 3405.1, "Computer Programming Language Policy," April 2, 1987
- (k) DoD Directive 5105.19, "Defense Information Systems Agency," June 25, 1991
- (l) DoD Directive 5105.21, "Defense Intelligence Agency," May 19, 1977
- (m) DoD Directive 5105.40, "Defense Mapping Agency," December 6, 1990
- (n) DoD Directive 5105.42, "Defense Investigative Service," June 14, 1985

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