



Department of Defense
DIRECTIVE

NUMBER 5111.10

March 22, 1995

Incorporating Change 2, October 21, 2011

DA&M

SUBJECT: Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict ~~and Interdependent Capabilities~~ (ASD(SO/LIC~~&IC~~))

- References:
- (a) Title 10, United States Code
 - (b) DoD Directive 5138.3, subject as above, January 4, 1988 (hereby canceled)
 - (c) DoD Directive 5111.4, "Assistant Secretary of Defense for Democracy and Peacekeeping," July 6, 1993 (hereby canceled)
 - (d) DoD Directive 5111.13, "Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs (ASD(HD&ASA)),
January 16, 2009
 - (e) through (k), see enclosure 1

1. PURPOSE

Pursuant to Section 138(b)(4) of reference (a) and the authority vested in the Secretary of Defense by Section 113 of reference (a), this Directive establishes the position of the ASD(SO/LIC) with the responsibilities, functions, relationships, and authorities, as prescribed herein, and replaces references (b) and (c).

2. APPLICABILITY AND SCOPE

2.1. This Directive applies to the Office of the Secretary of Defense (OSD), the Military Departments, the *Office of the* Chairman of the Joint Chiefs of Staff *and the Joint Staff*, the ~~Unified~~ Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, ~~and~~ the DoD Field Activities, *and all other organizational entities within the DoD* (hereinafter referred to collectively as the "DoD Components").

2.2. Responsibilities herein for domestic antiterrorism have been transferred to ASD(HD&ASA), consistent with DoD Directive 5111.13 (reference (d)).

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

4. RESPONSIBILITIES AND FUNCTIONS

The Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict is the principal staff assistant and civilian advisor to the Under Secretary of Defense for Policy (USD(P)) and the Secretary of Defense on SO and LIC matters. The principal duty of the ASD(SO/LIC) shall be the overall supervision of SO and LIC activities within the Department of Defense. In this capacity, the ASD(SO/LIC) shall:

4.1. Develop, coordinate, and oversee the implementation of policy for SO and LIC activities.

4.2. Review, evaluate, coordinate, and oversee SO and LIC plans, programs, and resources to ensure adherence to approved policy and planning guidance.

4.3. Review, analyze, and evaluate the various policies, processes, and programs of the DoD Components that impact on the capability to plan, resource, prepare forces, and execute SO and LIC operations; and initiate and coordinate actions or taskings that enhance the readiness, capabilities, and effective use of SO and LIC forces.

4.4. Provide policy guidance and recommendations to consider and incorporate SO and LIC mission options in contingency planning; review the SO and LIC aspects of contingency plans; and evaluate the SO and LIC aspects of the fit between policy, strategic guidance, planning, and capabilities.

4.5. Develop policy and provide advice to senior DoD officials regarding the use of U.S. Government resources in counterterrorism and antiterrorism roles and other sensitive national missions.

4.6. Develop policy for the planning and conduct of Sensitive Special Operations; review all proposals and conduct an independent evaluation of the risks and gains of each; oversee their execution and keep Executive and Legislative Branch leadership appropriately informed on these matters.

4.7. Ascertain where shortfalls in intelligence support to SO and LIC exist and recommend activities to the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)) that support the capability and plans of the Department of Defense to conduct SO and LIC missions.

4.8. Monitor the development of crises through the OSD Crisis Coordination Center and, as appropriate, recommend options for separate or integrated, military or

nonmilitary, actions utilizing SO capabilities; monitor SO actions during the planning and execution phases of the CAS; report to the USD(P) and the Secretary of Defense, after consultation with the Chairman of the Joint Chiefs of Staff, any significant change in the relationship between the SO actions, targets, level of force and risk, and the political objective to be achieved.

4.9. In accordance with established procedures, including General Counsel of the Department of Defense consultation and DoD Directive S-5210.36 (reference (e)), advise the USD(P) on fulfillment of interagency support requests for utilization of DoD Forces or resources in SO and LIC activities; monitor interagency use of DoD Forces or resources in SO and LIC activities; and report to the USD(P) whenever it appears that questions may arise with respect to the legality or priority of such utilization.

4.10. Establish and maintain an interactive process with the Department of State, the National Security Council, the DoD Components and other bodies to promote early identification of possible problems that might arise in different parts of the world and to initiate planning guidance for SO and LIC activities.

4.11. Develop, coordinate, and oversee the implementation of policy for Psychological Operations (PSYOP) activities, and carry out the responsibilities assigned to the USD(P) in DoD Directive S-3321.1 (reference (f)).

4.12. Develop, coordinate, and oversee the implementation of policy and plans for DoD participation in activities supporting U.S. international information programs.

4.13. Develop, coordinate, and oversee the implementation of civil affairs policy, and oversee civil affairs activities during peace and war across the continuum of military operations in accordance with DoD Directive 2000.13 (reference (g)).

4.14. Establish standing Departmental and interagency working groups, as appropriate, to facilitate the conduct of effective DoD Civil Affairs and PSYOP activities.

4.15. Provide, in conjunction with the Chairman of the Joint Chiefs of Staff and the Commander ~~in Chief~~, United States Special Operations Command (~~USCINCSOC~~ ~~CDRUSSOCOM~~), DoD oversight of the readiness of the ~~Unified~~ Combatant Commands to conduct SO.

4.16. Advise the USD(P) and the Secretary of Defense on assigning SO and other forces to the United States Special Operations Command (USSOCOM).

4.17. Provide overall supervision of the preparation and justification of Special Operations Forces (SOF) programs and budget; review and approve memoranda of agreement governing the USSOCOM program, budget, and execution process; approve the ~~USCINCSOC~~ ~~CDRUSSOCOM~~ recommendations concerning which programs the ~~USCINCSOC~~ ~~CDRUSSOCOM~~ will execute directly; review the USSOCOM Program

Objectives Memoranda (POM) and budget prior to submission to the Director for Program Analysis and Evaluation and the DoD Comptroller, respectively; and present and defend the SOF program to the Congress, with the advice and assistance of the ~~USCINCSOC~~ *CDRUSSOCOM*.

4.18. Advise and coordinate with the Under Secretary of Defense for Acquisition and Technology (USD(A&T)) on acquisition priorities and requirements for SO- and LIC-related material and equipment; participate in the Defense Acquisition Board and other appropriate boards and committees as the proponent for SO and LIC issues; and maintain liaison to monitor progress in achieving milestones.

4.19. Advise and coordinate with the Under Secretary of Defense for Personnel and Readiness on manpower, readiness, and Reserve affairs issues that impact on SO and LIC activities.

4.20. Advise and coordinate with the Under Secretary of Defense (Comptroller) and the Director for Program Analysis and Evaluation on program and budget issues that impact on SO and LIC activities.

4.21. Provide oversight of all SO- and LIC-related sensitive Special Access Programs pursuant to DoD Directive 5205.07 (reference (h)).

4.22. Oversee the promulgation and periodic review of regulations for the USSOCOM activities and review, in coordination with the Chairman of the Joint Chiefs of Staff, and the ~~USCINCSOC~~ *CDRUSSOCOM*, the procedures by which the ~~USCINCSOC~~ *CDRUSSOCOM* receives, plans, and executes taskings of the National Command Authority.

4.23. Promote understanding of SO and LIC activities within the Department of Defense, other Federal Agencies, the public, and foreign SO and LIC officials, as appropriate; and advocate the development of SO and LIC exercise participation in national wargaming efforts.

4.24. Serve as the DoD Coordinator for Drug Enforcement Policy and Support and is the principal staff assistant and advisor to the USD(P) and the Secretary of Defense for counterdrug policy, requirements, priorities, systems, resources, and programs. In this capacity, the ASD(SO/LIC) shall:

4.24.1. Develop policy, conduct analyses, provide advice, make recommendations, and issue guidance on DoD counterdrug plans and programs.

4.24.2. Develop systems and standards for the administration and management of approved DoD counterdrug plans and programs.

4.24.3. Promulgate plans, programs, actions, and taskings pertaining to the counterdrug program consistent with the national counterdrug strategy and DoD counterdrug policy and objectives.

4.24.4. Review, evaluate, coordinate, and monitor DoD counterdrug plans and programs to ensure adherence to approved policy and standards.

4.24.5. Promote coordination, cooperation, and mutual understanding concerning DoD counterdrug activities within the Department of Defense and the Congress, and between the Department of Defense and other Federal Agencies, State and local governments, and the civilian community.

4.24.6. Serve on boards, committees, and other groups pertaining to assigned counterdrug functions and represent the USD(P) and the Secretary of Defense on counterdrug matters outside the Department.

4.24.7. Serve as the DoD point of contact for the Office of the Director of National Drug Control Policy and other Federal and State agencies, as appropriate.

4.24.8. Direct, oversee, and monitor planning, programming, and budget (formulation, justification, and execution) for the DoD counterdrug mission, in coordination with OSD officials, the Chairman of the Joint Chiefs of Staff, and the appropriate DoD Components.

4.24.9. Coordinate and monitor DoD support to civilian drug law enforcement agencies.

4.24.10. Coordinate and monitor interagency efforts to promote the detection and monitoring of the maritime and aerial transit of illegal drugs into the United States.

4.24.11. Coordinate and monitor, in conjunction with the Assistant Secretary of Defense for Reserve Affairs, National Guard support to State drug law enforcement operations and to the Department of Defense, as required.

4.24.12. Coordinate and monitor, in conjunction with the ASD(C3I), DoD intelligence and communications support to Federal and State drug law enforcement operations.

4.25. Serve as the principal staff assistant and advisor to the USD(P) and the Secretary of Defense for DoD humanitarian and refugee affairs (HRA) policy,

requirements, priorities, resources, and programs. In this capacity, the ASD(SO/LIC) shall:

4.25.1. Develop, coordinate, and oversee the implementation of policy for DoD humanitarian assistance and foreign disaster relief activities, including humanitarian demining programs and DoD responses to migration emergencies.

4.25.2. Review, evaluate, coordinate, and oversee HRA plans, programs, and resources to ensure adherence to approved policy and planning guidance.

4.25.3. Review, analyze, and evaluate the various policies, processes, and programs of the DoD Components that affect the capacity to plan, resource, and execute humanitarian activities; and initiate and coordinate actions or taskings that enhance the readiness, capabilities, and effective use of DoD resources for such activities.

4.25.4. Provide policy guidance and recommendations on HRA matters to the DoD Components involved in contingency planning and other preparations, such as exercises and training, for humanitarian activities.

4.25.5. Program, plan, formulate, justify, and execute budgets for DoD humanitarian programs, to include: preparation and coordination of POM, program budget decisions, budget reclaims, budget submissions, budget and other fiscal guidance to the DoD Components conducting humanitarian activities; coordination with other DoD and Federal Government officials, such as the DoD Comptroller and the Director of the Office of Management and Budget; and presentation and defense of DoD humanitarian programs to the Congress.

4.25.6. Provide policy guidance for and oversee the implementation of: DoD humanitarian assistance programs authorized by Section 2551 of reference (a); the DoD Humanitarian Excess Property Program, authorized by Section 2547 of reference (a) and conducted in accordance with DoD Directive 2205.02 (reference (i)); the Department of Defense's program for space available transportation of humanitarian relief supplies to foreign countries authorized by Section 402 of reference (a); the Department of Defense's Humanitarian and Civic Assistance programs, authorized by Section 401 of reference (a); and all other acts and/or programs for which HRA funds are appropriated or authorized.

4.25.7. Oversee DoD Component plans and policies for training and education in the law of war.

4.25.8. Coordinate DoD policy positions on incremental negotiations on the law of war or U.S. signature or ratification of law of war treaties.

4.25.9. Prepare DoD policy positions on other law of war initiatives and issues requiring an Executive Branch decision, including the investigation and/or prosecution of

violations of the law of war committed or alleged to have been committed by or against persons other than members of the Armed Forces of the United States.

4.25.10. Develop and coordinate DoD policy and procedures and assist in the training and development of doctrine for U.S. military responses to large-scale humanitarian emergencies (humanitarian intervention).

4.25.11. Act as the DoD coordinator for responses to requests from the State Department, the National Security Council, the Department of Justice, the Congress, other U.S. Government Agencies, and non-governmental organizations for DoD action or assistance pertaining to humanitarian and refugee issues.

4.25.12. Promote the understanding of DoD humanitarian activities within other U.S. Government Agencies, the Congress, non-governmental and private voluntary organizations, foreign officials, and the public.

4.26. Serve as the DoD policy proponent for personnel recovery. In this capacity, the ASD(SO/LIC) shall, in coordination with the Director of Operations, Joint Staff (on behalf of the Chairman of the Joint Chiefs of Staff) and designated executive agents, integrate and deconflict DoD personnel recovery policy.

4.27. Represent the USD(P) and the Secretary of Defense in interagency deliberations and international negotiations dealing with assigned areas of responsibility.

4.28. Conduct studies and analyses that support the exercise of assigned responsibilities and functions.

4.29. Perform such other functions as the USD(P) or the Secretary of Defense may prescribe.

5. RELATIONSHIPS

5.1. In the performance of assigned functions and responsibilities, the ASD(SO/LIC) shall serve under the authority, direction, and control of the USD(P) and shall:

5.1.1. Report directly to the USD(P).

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

5.1.3. Use existing facilities and services of the Department of Defense and other Federal Agencies, when practicable, to avoid duplications and to achieve maximum efficiency and economy.

5.2. Other OSD officials and the Heads of DoD Components shall coordinate with the ASD(SO/LIC) on all matters related to the responsibilities and functions cited in section 4., above.

5.3. Insofar as the exercise of ASD(SO/LIC) responsibilities and functions defined in section 4., above, impacts on, or is conducted in, specific geographic regions of the world, the ASD(SO/LIC) shall exercise those responsibilities and functions in cooperation with the ASD that is assigned responsibility for overall U.S. Defense policy in that region.

5.4. Nothing herein shall be interpreted to interpose the ASD(SO/LIC) in the operational chain of command prescribed by Section 162 of reference (a), or to subsume and replace the functions and responsibilities of the Chairman of the Joint Chiefs of Staff and the ~~Unified~~ Combatant Commanders prescribed by law or DoD guidance.

6. AUTHORITIES

The ASD(SO/LIC) is hereby delegated authority to:

6.1. Issue DoD Instructions, DoD Publications, and one-time directive-type memoranda, consistent with DoD Instruction 5025.01 (reference (j)), that implement policy 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~~ Combatant Commands shall be communicated through the Chairman of the Joint Chiefs of Staff.

6.2. Obtain reports, information, advice, and assistance consistent with DoD Instruction 8910.01 (reference (k)), as necessary, in carrying out assigned functions.

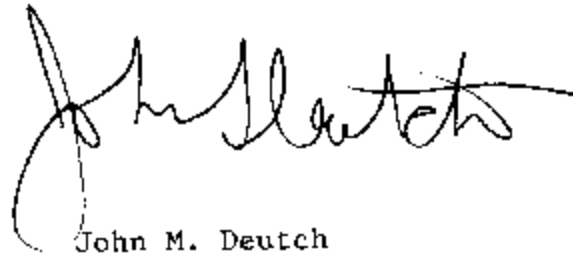
6.3. Communicate directly with the Heads of the DoD Components. Communications to the Commanders of the ~~Unified~~ Combatant Commands (other than the ~~USCINCSOC CDRUSSOCOM~~) shall be transmitted through the Chairman of the Joint Chiefs of Staff. Communicate directly with the ~~USCINCSOC CDRUSSOCOM~~ on SO and LIC policy, resource, and administrative matters.

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

7. RELEASABILITY. UNLIMITED. *This Directive is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.*

78. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, appearing to read "John M. Deutch". The signature is fluid and cursive, with a large initial "J" and "M".

John M. Deutch
Deputy Secretary of Defense

Enclosures - 2

- E1. References, continued
- E2. Definitions

E1. ENCLOSURE 1

REFERENCES, continued

- (e) 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
- (f) DoD Directive S-3321.1, "Overt Psychological Operations Conducted by the Military Services in Peacetime and in Contingencies Short of Declared War (U)," July 26, 1984
- (g) DoD Directive 2000.13, "Civil Affairs," June 27, 1994
- (h) DoD Directive 5205.07, "Special Access Program (SAP) Policy," ~~January 5, 2006~~
July 1, 2010
- (i) DoD Instruction 2205.02, "Humanitarian and Civic Assistance (HCA) Activities," December 2, 2008
- (j) DoD Instruction 5025.01, "DoD Directives Program," ~~October 27, 2008~~
October 28, 2007
- (k) DoD Instruction 8910.01, "Information Collection and Reporting," March 6, 2007

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Civil Affairs (CA). The activities of a commander that establish, maintain, influence, or exploit relations between military forces and civil authorities, both governmental and nongovernmental, and the civilian populace in a friendly, neutral, or hostile area of operations in order to facilitate military operations and consolidate operational objectives. Civil affairs may include performance by military forces of activities and functions normally the responsibility of local government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence of other military operations.

E2.1.2. Counterdrug Operations. Those active measures taken to detect, monitor, and counter the production, trafficking, and use of illegal drugs.

E2.1.3. Humanitarian Affairs. Any activity, issue, program, situation, or other function with a humanitarian component. Humanitarian affairs include, but are not limited to: worldwide humanitarian assistance; foreign disaster relief; humanitarian demining; humanitarian intervention; humanitarian and civic assistance; law of war; provision of humanitarian excess property; migration emergencies; refugee assistance; and space available or other transportation of privately donated humanitarian relief.

E2.1.4. Low-Intensity Conflict (LIC). Political-military confrontation between contending states or groups below conventional war and above the routine, peaceful competition among states. It involves protracted struggles of competing principles and ideologies. LIC ranges from subversion to the use of armed force. It is waged by a combination of means employing political, economic, informational, and military instruments. LIC conflicts are often localized, generally in the Third World, but contain regional and global security implications. LIC activities include, but are not limited to counterterrorism, foreign internal defense, counterinsurgency, support to insurgency, contingency operations, counternarcotics, and peacekeeping.

E2.1.5. Personnel Recovery. The aggregation of military and political efforts to obtain the release or recovery of captured, missing, or isolated U.S., allied, coalition, friendly military, or paramilitary personnel from semi-permissive and non-permissive environments and denied areas. Personnel recovery will occur through military action, diplomatic initiatives, or a combination of both (includes Theater Search and Rescue; Combat Search and Rescue; Search and Rescue; Survival, Evasion, Resistance, and Escape (SERS); Evasion and Escape (E&E); and the coordination of negotiated as well as forcible recovery options).

E2.1.6. Psychological Operations (PSYOP). Planned operations to convey selected information and indicators to foreign audiences to influence their emotions, motives, objective reasoning, and ultimately the behavior of foreign governments, organizations, groups, and individuals. The purpose of PSYOP is to induce or reinforce foreign attitudes and behavior favorable to the originator's objectives.

E2.1.7. Sensitive Special Operations (SSOPS). Those activities conducted by SOF employing low-visibility, clandestine, or (under special circumstances) covert methods to ensure secrecy or concealment, in pursuit of national military, political, economic, or psychological objectives. These operations are characterized as politically and/or militarily sensitive, are of a high-risk nature, and require oversight at the national level. SO-related intelligence elements, when deployed via Joint Staff Operations channels, are defined as SSOPS.

E2.1.8. Special Operations (SO). Operations conducted by specially organized, trained, and equipped military and paramilitary forces to achieve military, political, economic, or psychological objectives by unconventional military means in hostile, denied, or politically sensitive areas. These operations are conducted during peacetime competition, conflict, and war, independently or in coordination with operations of conventional, non-special operations forces. Political-military considerations frequently shape special operations, requiring clandestine, covert, or low-visibility techniques and oversight at the national level. Special operations differ from conventional operations in degree of physical and political risk, operational techniques, mode of employment, independence from friendly support, and dependence on detailed operational intelligence and indigenous assets. SO activities include each of the following insofar as it relates to special operations: direct action, strategic reconnaissance, unconventional warfare, foreign internal defense, civil affairs, psychological operations, counterterrorism, humanitarian assistance, theater search and rescue, and such other activities as may be specified by the President or the Secretary of Defense.