



Department of Defense

DIRECTIVE

NUMBER 5111.13

January 16, 2009

DA&M

SUBJECT: Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs (ASD(HD&ASA))

References: See Enclosure

1. PURPOSE. Consistent with section 138 of title 10, United States Code (U.S.C.) (Reference (a)) and under the authority of DoD Directive (DoDD) 5111.1 and Deputy Secretary of Defense memorandum (References (b) and (c)), this Directive:

a. Establishes the position of the ASD(HD&ASA) with the responsibilities and functions, relationships, and authorities as prescribed herein.

b. Supersedes Deputy Secretary of Defense memorandum (Reference (d)).

c. Supersedes any conflicting portions of DoDD 5111.10 (Reference (e)) pertaining to domestic antiterrorism activities, consistent with DoDD 2000.12 and DoD Instruction (DoDI) 2000.16 (References (f) and (g)).

2. APPLICABILITY. This Directive applies to OSD, 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 within the Department of Defense (hereafter referred to collectively as the "DoD Components").

3. DEFINITIONS. See Glossary.

4. RESPONSIBILITIES AND FUNCTIONS. The ASD(HD&ASA), under the authority, direction, and control of the Under Secretary of Defense for Policy (USD(P)), serves as the principal civilian advisor to the Secretary of Defense and the USD(P) on homeland defense activities, Defense Support of Civil Authorities (DSCA), and Western Hemisphere security matters. The ASD(HD&ASA) shall:

a. Provide overall supervision of homeland defense activities of the Department of Defense pursuant to section 138 of Reference (a). These activities include but are not limited to the Defense Critical Infrastructure Program (DCIP); domestic antiterrorism; the Defense Continuity Program; other homeland defense-related activities; and alignment of homeland defense policies and programs with DoD policies for counterterrorism and counternarcotics.

(1) DCIP. Develop, coordinate, and oversee policy implementation for DCIP, pursuant to DoDD 3020.40 (Reference (h)), Homeland Security Presidential Directive (HSPD)-7 (Reference (i)), and the National Infrastructure Protection Plan (Reference (j)).

(2) DoD Domestic Antiterrorism. Develop, coordinate, and oversee policy implementation for DoD antiterrorism programs and activities within the Homeland and approaches, consistent with overall antiterrorism policies; advise the Secretary of Defense and other DoD officials on the use of U.S. Government resources in domestic antiterrorism roles; and:

(a) Establish antiterrorism standards and guidance on protective measures to reduce the vulnerability to terrorist acts of DoD personnel, dependent family members, installations and other facilities, and critical resources. Coordinate such matters with the appropriate OSD Principal Staff Assistants (PSAs) and the Heads of the DoD Components.

(b) Coordinate the integration of plans and programs for combating terrorism and for homeland defense to achieve installation preparedness at DoD installations, in coordination with the Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), the Assistant Secretary of Defense for Special Operations/Low Intensity Conflict and Interdependent Capabilities (ASD(SO/LIC&IC)), and the Heads of the other DoD Components.

(c) In coordination with the Chairman of the Joint Chiefs of Staff and the Heads of the other DoD Components, monitor compliance of the DoD Components with applicable DoD antiterrorism policy and standards.

(d) Ensure the integration of DoD antiterrorism policy into National Security and Defense policy and strategy. Coordinate such matters with the Chairman of the Joint Chiefs of Staff and the ASD(SO/LIC&IC).

(3) Defense Continuity Program

(a) Develop, coordinate, and oversee implementation of Defense continuity policy, including activities supporting continuity of operations, continuity of government, and enduring constitutional government.

(b) Develop and oversee a comprehensive continuity program to ensure the development and exercise of continuity plans to support the Secretary, the Deputy Secretary, and

their senior and supporting staffs, and the DoD Components in coordination with the Chairman of the Joint Chiefs of Staff.

(4) DoD Support to Crisis Management

(a) Pursuant to DoD Directive 3020.44 (Reference (k)), serve as the Domestic Crisis Manager among other Defense-wide crisis management responsibilities assigned above and in Reference (k).

(b) In coordination with the Secretaries of the Military Departments, Chairman of the Joint Chiefs of Staff, and OSD PSAs, as appropriate, develop, coordinate, and oversee the implementation of DoD-wide policy for crisis management, including:

1. Programs, processes, and supporting infrastructure to implement crisis management within the Department of Defense. Such policy areas shall include information technology and information sharing, in coordination with the Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer (ASD(NII)/DoD CIO).

2. Support for the President and the Secretary of Defense in a designated national security emergency and the coordination of such matters with the Executive Office of the President, the Heads of the DoD Components, other Federal agencies, and State and local agencies and municipalities, as appropriate.

(5) Other Homeland Defense-Related Activities

(a) Develop, coordinate, and oversee implementation of DoD policy on other homeland defense activities. Coordinate these activities, including homeland defense plans and the commitment of forces or other DoD resources (e.g., non-lethal weapons and capabilities in support of homeland defense) with the Chairman of the Joint Chiefs of Staff and the Heads of the other DoD Components, as appropriate.

(b) Develop, coordinate, and oversee implementation of DoD policy for maritime domain awareness (MDA), pursuant to National Security Presidential Directive (NSPD) 41/HSPD-13 (Reference (l)). Coordinate such matters with the ASD(NII)/DoD CIO, the Under Secretary of Defense for Intelligence (USD(I)), and the Chairman of the Joint Chiefs of Staff. Represent the Secretary of Defense in interagency MDA matters and lead DoD coordination of MDA plans, activities, and support with the Department of Homeland Security (DHS), other Federal agencies, and international partners.

(c) Pursuant to section 902 of title 32, U.S.C. (Reference (m)), develop, coordinate, and oversee the implementation of DoD policy for the participation of National Guard units or members in homeland defense activities when the Secretary of Defense determines such participation is necessary and appropriate. Coordinate such matters with the Secretaries of the Army and the Air Force, the Chairman of the Joint Chiefs of Staff, the Chief of the National Guard Bureau (NGB), and the Assistant Secretary of Defense for Reserve Affairs (ASD(RA)), as appropriate. Prepare reports to Congress, pursuant to section 908 of Reference (m).

(d) Coordinate with the Heads of the DoD Components, the Under Secretary of Defense for Personnel and Readiness (USD(P&R)), and the USD(AT&L) on matters regarding the readiness posture of forces, to include critical infrastructure protection and chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) response forces.

(e) Coordinate the integration of homeland defense policies and programs with DHS and other Federal agencies, as appropriate. Coordinate the integration of such policies and programs into DoD theater security cooperation and bilateral and multilateral defense policies and programs, where appropriate.

(f) Maintain, and update as required, the DoD Strategy for Homeland Defense and Civil Support (Reference (n)). Ensure this strategy:

1. Aligns with the Quadrennial Defense Review, the National Security Strategy, the National Defense Strategy, and the National Response Framework or any succeeding documents.

2. Appropriately integrates national policy for homeland security.

3. Promotes unity of effort by encompassing the capabilities controlled by the President, State governors, local officials, and international partners.

(g) Oversee policy for the deployment and employment of non-lethal weapons for homeland defense and DSCA, missions consistent with DoDD 3000.3 (Reference (o)).

(h) Serve as the DoD policy lead to develop, coordinate, and oversee implementation of NSPD 54/HSPD 23 (Reference (p)) within the Department of Defense. Coordinate such matters with the ASD(NII)/DoD CIO, the USD(I), and the Chairman of the Joint Chiefs of Staff. Represent the Secretary of Defense in interagency cybersecurity policy matters and lead DoD coordination of cybersecurity plans, activities, and support with DHS, other Federal agencies, and international partners.

(6) Domestic Counterterrorism, Combating Weapons of Mass Destruction (WMDs), and Counternarcotics. Coordinate and align homeland defense policies, plans, and programs with:

(a) DoD counterterrorism policy, plans, and programs under the oversight of the ASD(SO/LIC&IC), under the authority, direction, and control of USD(P).

(b) DoD counternarcotics and combating WMD policy, plans, and programs under the oversight of the Assistant Secretary of Defense for Global Security Affairs (ASD(GSA)), under the authority, direction, and control of USD(P).

(c) Nuclear, chemical, and biological defense programs under the oversight of the USD(AT&L).

b. Serve as the principal civilian advisor to the Secretary of Defense and the USD(P) for DSCA.

(1) Develop, coordinate, and oversee implementation of DoD policy for DSCA plans and activities, including:

(a) Requests for assistance during domestic crises, emergencies, or civil disturbances.

(b) Domestic consequence management.

(c) Coordination with DHS and other Federal agencies on the development and validation of DSCA requirements.

(d) DoD support to national special security events.

(e) DoD support to national and international sporting events, pursuant to section 2564 of Reference (a).

(2) Pursuant to section 2313 of title 50, U.S.C. (Reference (q)), coordinate DoD assistance to Federal, State, and local officials in responding to threats involving CBRNE weapons or related materials or technologies, including assistance in their identification, neutralization, dismantlement, and disposition. Collaborate on such matters with the USD(AT&L), as appropriate.

(3) Coordinate with the Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, the Commanders of U.S. Northern Command (USNORTHCOM), U.S. Pacific Command (USPACOM), U.S. Strategic Command (USSTRATCOM), and U.S. Joint Forces Command (USJFCOM), and the Chief, NGB, consistent with DoDD 5105.77 (Reference (r)), and others, as appropriate, on DSCA plans, the commitment of forces, or the employment of other DoD resources.

(4) Advise and assist the ASD(RA), under the authority, direction, and control of the USD(P&R), on DoD policy for the employment of military emergency preparedness liaison officers.

c. Serve as the principal civilian advisor to the Secretary of Defense and the USD(P) on Western Hemisphere security affairs.

(1) Develop, coordinate, and oversee the implementation of DoD security policy in the Western Hemisphere.

(a) Translate global and functional policies into Western Hemisphere country strategies.

(b) Conduct and manage day-to-day, multilateral, regional, and bilateral defense and military relations with foreign governments in the Western Hemisphere.

(c) Represent the Secretary of Defense and the USD(P) on Western Hemisphere policy matters with interagency partners and in international negotiations. Serve as the focal point for coordinating and integrating such matters with the Combatant Commands and the DoD Components.

(d) Pursuant to DoDD 5101.1 (Reference (s)), perform the function of the OSD PSA and oversee the DoD Executive Agent for the Western Hemisphere Institute for Security Cooperation established by DoDD 5111.12 (Reference (t)).

(e) Provide guidance and priorities for the Center for Hemispheric Defense Studies in coordination with ASD(GSA), under the authority, direction, and control of the USD(P), and the appropriate Geographic Combatant Commanders, through the Chairman of the Joint Chiefs of Staff.

(2) Develop and oversee the implementation of policy, plans, activities, and the uses of DoD resources related to defense and military aspects regarding the promotion of constitutional democracy and respect for human rights in the Western Hemisphere. Such matters include civilian control of the military, the appropriate role of the military in constitutional democracies, and standards of military professionalism respectful of elected civilian authority and human rights.

(3) Provide policy oversight of DoD programs for building partnership capacity, security cooperation, Foreign Military Sales, and International Military Education and Training in the Western Hemisphere in coordination with ASD(GSA), under the authority, direction, and control of the USD(P).

d. Provide program and budgetary advice and assistance for homeland defense activities, DSCA, and Western Hemisphere security matters.

(1) Advise the Secretary of Defense, through the USD(P), and the Under Secretary of Defense (Comptroller)/Chief Financial Officer (USD(C)/CFO) on DoD program and budget priorities for homeland defense activities, DSCA, and Western Hemisphere security matters.

(2) Coordinate with the USD(C)/CFO and the Director, Program Analysis and Evaluation, and assist them in the review, analysis, and validation of resources programmed and budgeted for the homeland defense activities, DSCA, and Western Hemisphere security matters addressed in this Directive.

e. Perform such other duties as the Secretary of Defense or the USD(P) may assign.

5. RELATIONSHIPS

a. In the performance of assigned functions and responsibilities, the ASD(HD&ASA) shall:

(1) Serve under the authority, direction, and control of the USD(P).

(2) Collaborate, coordinate, and exchange information with other OSD PSAs, the Chairman of the Joint Chiefs of Staff, the Heads of the other DoD Components, and Federal officials having related responsibilities and functions. In particular, close coordination shall be accomplished to ensure that programs and plans for the use of forces and other high demand resources are not in conflict.

(3) Serve as the DoD focal point for policy matters pertaining to homeland defense activities, DSCA, and DoD security matters in the Western Hemisphere, including but not limited to: defense domestic consequence management; activities commonly referred to as mission assurance (DCIP, the Defense Continuity Program, Defense Crisis Management); and the alignment of homeland defense activities with counterterrorism and counternarcotics policy and programs and other homeland defense activities as described in paragraph 4.a.(5). Serve as the principal DoD representative on such matters with interagency partners, the Congress, State governments, local municipalities, and organizations in the private sector.

(4) Use existing facilities, systems, and services of the Department of Defense and other Federal agencies, when possible, to avoid duplication and to achieve maximum efficiency and economy.

b. The Heads of the DoD Components and OSD PSAs shall coordinate all such matters addressed in paragraph 5.a.(3) with the ASD(HD&ASA).

c. Nothing herein shall be interpreted to subsume or replace the functions, responsibilities, or authorities of the OSD PSAs, the Chairman of the Joint Chiefs of Staff, the Commanders of Combatant Commands, or the Heads of the other DoD Components, as prescribed by law.

6. AUTHORITIES. The ASD(HD&ASA) is hereby delegated authority to:

a. Request that the Heads of the DoD Components, through appropriate channels, plan for the commitment of DoD resources in response to requests for support from civil authorities. Nothing herein shall be interpreted to interpose the ASD(HD&ASA) in the operational chain of command of military forces.

b. Except as retained by the Secretary of Defense in this section, approve requests for assistance from civil authorities. Such matters shall be coordinated consistent with paragraph 5.a.(2) of this Directive. In the absence of the ASD(HD&ASA), the Principal Deputy Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs may exercise the authority of the ASD(HD&ASA) to approve such requests. This authority may not be further delegated. Authority to approve requests is NOT delegated in this Directive for:

(1) Assistance in responding to civil disturbances.

- (2) Assistance in responding to CBRNE events.
- (3) Assistance to civilian law enforcement organizations.
- (4) Assistance in responding with assets with the potential for lethality.

c. Issue DoD Instructions, DoD Publications, and one-time directive-type memorandums, consistent with DoDI 5025.01 (Reference (u)), that implement policy approved by the Secretary of Defense or the USD(P) 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 normally shall be communicated through the Chairman of the Joint Chiefs of Staff.

d. Except as otherwise indicated herein, communicate directly with the Heads of the DoD Components, as necessary, to carry out statutory duties and assigned responsibilities and functions, to achieve unity of effort and ensure the timely sharing of information on matters of mutual interest and importance, including the transmission of requests for advice and assistance.

(1) Formal communications to the Commanders of the Combatant Commands normally shall be transmitted through the Chairman of the Joint Chiefs of Staff except for those direct communications with the Commanders of USNORTHCOM, USPACOM, USSTRATCOM, and USJFCOM relating to homeland defense and Defense Support of Civil Authorities, in which case the ASD(HD&ASA) shall keep the Chairman of the Joint Chiefs of Staff informed.

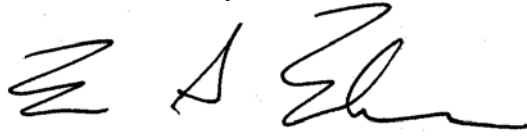
(2) Communications to the Military Departments shall be transmitted through the Secretaries of the Military Departments, their designees, or as otherwise provided in law or directed by the Secretary of Defense in other DoD issuances.

e. Communicate with other Federal, State, and local government officials, representatives of the Legislative Branch, and representatives of foreign governments, international organizations, the private sector, academia, and the general public, as appropriate, in carrying out assigned responsibilities and functions. Communications with representatives of the Legislative Branch shall be coordinated with the Assistant Secretary of Defense for Legislative Affairs and the USD(C)/CFO, as appropriate.

f. Obtain reports and information consistent with DoDI 8910.01 (Reference (v)), as necessary, to carry out assigned responsibilities and functions.

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

8. EFFECTIVE DATE. This Directive is effective immediately.

A handwritten signature in black ink, appearing to read 'E S Edelman', written in a cursive style.

Eric S. Edelman
Under Secretary of Defense for Policy

Enclosures
References
Glossary

ENCLOSURE

REFERENCES

- (a) Title 10, United States Code
- (b) DoD Directive 5111.1, "Under Secretary of Defense for Policy (USD(P)),
December 8, 1999
- (c) Deputy Secretary of Defense Memorandum, "Delegations of Authority,"
November 30, 2006¹
- (d) Deputy Secretary of Defense Memorandum, "Implementation Guidance
Regarding the Office of the Assistant Secretary of Defense for Homeland
Defense," March 25, 2003 (hereby canceled)
- (e) DoD Directive 5111.10, "Assistant Secretary of Defense for Special Operations and
Low-Intensity Conflict (ASD(SO/LIC)),
March 22, 1995
- (f) DoD Directive 2000.12, "DoD Antiterrorism (AT) Program," August 18, 2003
- (g) DoD Instruction 2000.16, "DoD Antiterrorism (AT) Standards," October 2, 2006
- (h) DoD Directive 3020.40, "Defense Critical Infrastructure Program (DCIP)," August 19,
2005
- (i) Homeland Security Presidential Directive-7, "Critical Infrastructure Identification,
Prioritization, and Protection," December 17, 2003²
- (j) "National Infrastructure Protection Plan," June 2006³
- (k) DoD Directive 3020.44, "Defense Crisis Management," June 4, 2007
- (l) National Security Presidential Directive-41 and Homeland Security Presidential
Directive-13, "Maritime Security Policy," December 21, 2004⁴
- (m) Title 32, United States Code
- (n) Strategy for Homeland Defense and Civil Support, June 2005⁵
- (o) DoD Directive 3000.3, "Policy for Non-Lethal Weapons," July 9, 1996
- (p) National Security Presidential Directive 54/Homeland Security Presidential Directive 23,
"Comprehensive National Cybersecurity Initiative," January 8, 2008⁶
- (q) Title 50, United States Code
- (r) DoD Directive 5105.77, "National Guard Bureau (NGB)," May 21, 2008
- (s) DoD Directive 5101.1, "DoD Executive Agent," September 3, 2002
- (t) DoD Directive 5111.12, "Western Hemisphere Institute for Security Cooperation,"
June 17, 2002
- (u) DoD Instruction 5025.01, "DoD Directives Program," October 28, 2007
- (v) DoD Instruction 8910.01, "Information Collection and Reporting," March 6, 2007
- (w) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated
Terms," as amended

¹ On file in the Organizational and Management Planning Directorate, DA&M, OSD

² <http://www.whitehouse.gov/news/releases/2003/12/20031217-5.html>

³ http://www.dhs.gov/xlibrary/assets/NIPP_Plan.pdf

⁴ Document is available from http://www.dhs.gov/xabout/laws/gc_1217624446873.shtm#1

⁵ Document is available from <http://www.defenselink.mil/news/Jun2005/d20050630homeland.pdf>

⁶ This classified document is available through OASD(HD&ASA) to users with the appropriate clearance based on need to know.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ASD(GSA)	Assistant Secretary of Defense for Global Security Affairs
ASD(HD&ASA)	Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs
ASD(NII)/DoD CIO	Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer
ASD(RA)	Assistant Secretary of Defense for Reserve Affairs
ASD(SO/LIC&IC)	Assistant Secretary of Defense for Special Operations/Low Intensity Conflict and Interdependent Capabilities
CBRNE	chemical, biological, radiological, nuclear, and high-yield explosives
DCIP	Defense Critical Infrastructure Program
DoDD	DoD Directive
DoDI	DoD Instruction
DSCA	Defense Support of Civil Authorities
HSPD	Homeland Security Presidential Directive
MDA	Maritime Domain Awareness
NSPD	National Security Presidential Directive
PSA	Principal Staff Assistant
U.S.C.	United States Code
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
USD(C)/CFO	Under Secretary of Defense (Comptroller)/Chief Financial Officer
USD(I)	Under Secretary of Defense for Intelligence
USD(P)	Under Secretary of Defense for Policy
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USJFCOM	U.S. Joint Forces Command
USNORTHCOM	U.S. Northern Command
USPACOM	U.S. Pacific Command
USSTRATCOM	U.S. Strategic Command
WMDs	weapons of mass destruction

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this Directive.

antiterrorism. Defined in Joint Publication 1-02 (Reference (w)).

combating terrorism. Defined in Reference (w).

counterterrorism. Defined in Reference (w).

defense crisis management. The process of developing and executing options, as needed, to prevent, mitigate, or respond to a crisis.

Defense Crisis Manager. The DoD official responsible for the process of identifying, acquiring, planning, and executing the use of DoD resources needed to prevent or resolve a potential or actual crisis.

DSCA. Support provided by U.S. Federal military forces, National Guard forces performing duty in accordance with Reference (m), DoD civilians, DoD contract personnel, and DoD component assets, in response to requests for assistance from civil authorities for special events, domestic emergencies, designated law enforcement support, and other domestic activities. Support provided by National Guard forces performing duty in accordance with Reference (m) is considered DSCA, but is conducted as a State-directed action. Also known as civil support.

domestic. The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the former trust Territories of the Pacific Islands, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, or any political subdivision thereof.

homeland defense activities. Defined in section 901 of Reference (m).

installation preparedness. For the purpose of this Directive, actions taken at a DoD installation to prevent, detect, protect, and respond to terrorist attacks, including chemical, biological, radiological, nuclear, and high yield explosive attacks; disasters; and other emergencies. In addition to facilities and equipment, installation preparedness includes the protection of Service members, civilian employees, dependent family members, and contractors. At the OSD and DoD Component level, installation preparedness encompasses those policy, planning, and program activities undertaken to ensure DoD processes and resources are in place to support preparedness actions by commanders on installations.

mission assurance. Defined in Reference (h).

national security emergency. Any occurrence, including natural disaster, military attack, technological, or other emergency, that seriously degrades or threatens the national security of the United States.