



DoD DIRECTIVE 2060.01

IMPLEMENTATION OF, AND COMPLIANCE WITH, ARMS CONTROL AGREEMENTS

Originating Component: Office of the Under Secretary of Defense for Acquisition and Sustainment

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Approved by: David L. Norquist, Deputy Secretary of Defense

Purpose: This issuance establishes policy and assigns responsibilities for DoD implementation of, and compliance with, arms control agreements of the U.S. Government in accordance with Title 10, U.S. Code.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

This issuance 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 DoD (referred to collectively in this issuance as the “DoD Components”).

1.2. POLICY.

- a. All DoD activities will be fully consistent with U.S. obligations under the arms control agreements of the U.S. Government.
- b. Implementation of, and compliance with, arms control agreements will be carried out in a manner to avoid compromising national security information.
- c. DoD will provide separate budget presentations and justifications for all of its arms control implementation- and compliance-related expenses.

1.3. INFORMATION COLLECTIONS.

The information requirements in Paragraphs 2.8.c., 2.8.j., and 2.8.k. have been assigned the Report Control Symbol DD-A&S (AR)1229 in accordance with Volume 1 of DoD Manual 8910.01.

SECTION 2: RESPONSIBILITIES

2.1. UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT (USD(A&S)).

The USD(A&S):

a. Oversees implementation of, and provides guidance to the DoD Component heads for, arms control agreements, including planning and execution, to ensure that all DoD activities are fully consistent with U.S. obligations under the arms control agreements of the U.S. Government.

b. Provides, as requested by the Under Secretary of Defense for Policy (USD(P)), advisors or technical experts to support the OSD representatives to negotiating groups, other international meetings, and interagency meetings associated with arms control implementation and compliance matters.

c. Designates, as required, a Treaty Manager, for oversight of the implementation of, and compliance with, each existing and prospective arms control agreement covered by this issuance.

d. As necessary, establishes DoD implementation working groups (IWGs) for each arms control agreement, with a Treaty Manager as the chair, to monitor and coordinate DoD implementation of each arms control agreement.

e. As necessary, establishes a DoD compliance review group (CRG) for each arms control agreement, with the appropriate Treaty Manager as the chair, to monitor compliance of all DoD activities and to coordinate DoD guidance on issues arising from questions of compliance. The CRG will include members provided by the USD(P), the General Counsel of the Department of Defense, and the Chairman of the Joint Chiefs of Staff.

f. As necessary, certifies specific planned DoD activities as consistent with the obligations of each arms control agreement, based on the recommendation of the appropriate CRG Chair. The CRG Chair recommendation will include a compliance rationale coordinated through the CRG members and any separate views of DoD Components having equities in the matter.

g. As necessary, provides arms control agreement compliance guidance for other compliance issues requiring resolution (such as those arising from an on-site inspection), based on the recommendation of the appropriate CRG Chair. This recommendation will be coordinated through the CRG members and include any separate views of DoD Components having equities in the matter.

h. Ensures that any compliance issue concerning disclosure of classified military information to foreign governments or international organizations resulting from an arms control agreement is resolved in accordance with DoD Directive 5230.11 and through the appropriate CRG. Issues concerning disclosure of classified information for which the DoD is not the original disclosure authority will be coordinated with the originator to obtain disclosure/protective guidance for the affected information.

i. Monitors all DoD activities for compliance with arms control agreements and, as necessary, conducts or directs reviews to determine if there are issues that should be brought before a CRG to ensure compliance.

j. Provides direction and oversight for the conduct of research and development to support DoD implementation of, and compliance with, arms control agreements.

k. Ensures that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements, with support from the USD(P), the Under Secretary of Defense for Research and Engineering (USD(R&E)), the Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense (USD(C)/CFO), the Under Secretary of Defense for Personnel and Readiness (USD(P&R)), and the Director of Cost Assessment and Program Evaluation (DCAPE).

l. Establishes a DoD working group to monitor and coordinate planning, programming, and budgeting for the implementation of, and compliance with, arms control agreements.

m. Ensures that for special access programs (SAPs), the responsibilities identified in Paragraphs 2.1.a. through 2.1.m. will be carried out in accordance with DoD Directive 5205.07 and DoD Instruction 5205.11.

2.2. USD(P).

The USD(P):

a. Represents the Secretary of Defense, in accordance with DoD Directive 5111.01, on arms control matters involving the National Security Council, the Department of State, and other Federal departments, agencies, and interagency groups.

b. Develops, coordinates, and oversees the implementation of DoD arms control policy.

c. Develops and coordinates DoD policy and positions for international negotiations on arms control implementation and compliance issues, in coordination with the USD(A&S), the General Counsel of the Department of Defense, and the Chairman of the Joint Chiefs of Staff.

d. Represents the Secretary of Defense with coordinated DoD views in discussions, negotiations, meetings, and other interactions with representatives of foreign governments, including military and civilian personnel, on issues regarding DoD implementation of, and compliance with, arms control agreements.

e. Provides a representative as a member of each IWG and CRG.

f. Supports the USD(A&S) in ensuring that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements.

g. Identifies and addresses, in consultation with the CRGs, issues arising from all DoD activities that require resolution to foreclose or respond to questions of U.S. compliance raised by other parties to arms control agreements.

2.3. USD(R&E).

The USD(R&E):

a. Conducts, in coordination with the USD(A&S), research and development to support DoD implementation of, and compliance with, arms control agreements.

b. Supports the USD(A&S) in ensuring that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements.

c. Provides a representative as a member of each IWG.

d. Provides, on request, a representative to meetings of each CRG.

2.4. USD(C)/CFO.

The USD(C)/CFO:

a. Supports the USD(A&S) in ensuring that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements.

b. Provides a representative as a member of each IWG.

c. Provides, on request, a representative to meetings of each CRG.

d. Provides budgetary information required for the implementation of, and compliance with, arms control agreements.

2.5. USD(P&R).

The USD(P&R) supports the USD(A&S) and the DoD Components, with respect to manpower and personnel policies, related to their plans, programs, budgets for the implementation of, and compliance with, arms control agreements.

2.6. GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE.

The General Counsel of the Department of Defense:

- a. Provides legal interpretations of arms control agreements, as well as advice and assistance on the arms control agreement implementation and compliance review processes.
- b. Provides a representative as a member of each IWG and CRG.

2.7. DCAPE.

The DCAPE:

- a. Supports the USD(A&S) in ensuring that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements.
- b. Provides a representative as a member of each IWG.
- c. Provides, on request, a representative to meetings of each CRG.

2.8. DOD COMPONENT HEADS.

The DoD Component heads:

- a. Ensure their respective components comply with arms control agreements according to general procedures and guidance issued by the USD(A&S) and, as appropriate, coordinated military guidance provided by the Chairman of the Joint Chiefs of Staff.
- b. Ensure that all provisions and criteria available under the various arms control agreements are used appropriately, to avoid the unauthorized disclosure of classified information under their cognizance.
- c. Designate in writing to the USD(A&S) an implementation and compliance review manager for each arms control agreement.
- d. Establish and execute plans and detailed procedures applicable within their respective components for the implementation of, and compliance with, arms control agreements.
- e. Plan, program, budget, and allocate resources, including personnel, necessary for the implementation of, and compliance with, arms control agreements. Such actions will be carried out to identify those funds that are unique to arms control implementation and compliance.
- f. Provide advice and assistance about the impact of arms control provisions on their respective component. When, in the DoD Component's view, specific component activities are affected, provide a representative as a member of IWGs and send a representative to CRG meetings to express the DoD Component's views.
- g. For specific DoD-planned activities, seek clearance from the USD(A&S) through the appropriate CRG, in a timely manner, before taking any action, including but not limited to,

research, tests, development, exercises, and operations that reasonably raises an issue of DoD compliance with an arms control agreement.

h. For other compliance issues requiring resolution, such as those arising from an on-site inspection, seek resolution from the USD(A&S), through the appropriate CRG. When there is doubt whether clearance or resolution is necessary, clearance or resolution will be sought.

i. If an arms control compliance issue involves a DoD SAP, contact the director of the cognizant DoD SAP central office and the chairman of the DoD SAP senior review group. The senior review group chairman will effect coordination with the appropriate CRG.

j. Provide periodic reports advising the USD(A&S) on the implementation of arms control agreements and the compliance status of activities under the purview of the component.

k. Provide the USD(C)/CFO, the USD(A&S), the USD(P), the USD(R&E), the USD(P&R), and DCAPE with budgetary or resource information concerning costs for the implementation of, and compliance with, arms control agreements.

2.9. CHAIRMAN OF THE JOINT CHIEFS OF STAFF.

In addition to the responsibilities in Paragraph 2.8., the Chairman of the Joint Chiefs of Staff:

a. Provides military advice on arms control implementation and compliance issues and on arms control matters involving the National Security Council, the Department of State, and other departments, agencies, and interagency groups.

b. Coordinates activities, as provided under Paragraph 2.9.d., including communications to and from the Combatant Commands, for the implementation of, and compliance with, all arms control agreements.

c. Provides advice and assistance for DoD negotiation of, implementation of, and compliance with, arms control agreements.

d. Coordinates the development of detailed procedures applicable within the Combatant Commands that, when approved by the Secretary of Defense, establish requirements for the implementation of, and compliance with, arms control agreements by the Combatant Commands.

e. Provides coordinated military guidance for use by the Military Departments, the Military Services, the Combatant Commands, and the Defense Agencies in the preparation of their respective implementation and compliance plans.

f. Provides a representative as a member of each IWG and CRG.

GLOSSARY

G.1. ACRONYMS.

ACRONYM	MEANING
CRG	compliance review group
DCAPE	Director of Cost Assessment and Program Evaluation
IWG	Implementation working group
SAP	Special access program
USD(A&S)	Under Secretary of Defense for Acquisition and Sustainment
USD(C)/CFO	Under Secretary of Defense Comptroller/Chief Financial Officer, Department of Defense
USD(P)	Under Secretary of Defense for Policy
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USD(R&E)	Under Secretary of Defense for Research and Engineering

G.2. DEFINITIONS.

Unless otherwise noted, this term and its definition is for the purpose of this issuance.

TERM	DEFINITION
SAP	Defined in the DoD Dictionary of Military and Associated Terms.

REFERENCES

- DoD Directive 5111.1, “Under Secretary of Defense for Policy (USD(P)),” December 8, 1999
- DoD Directive 5205.07 “Special Access Program (SAP) Policy,” July 1, 2010, as amended
- DoD Directive 5230.11, “Disclosure of Classified Military Information to Foreign Governments and International Organizations,” June 16, 1992
- DoD Instruction 5205.11, “Management, Administration, and Oversight of DoD Special Access Programs (SAPs),” February 6, 2013, as amended
- DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended
- Office of the Chairman of the Joint Chiefs of Staff, “DoD Dictionary of Military and Associated Terms,” current edition
- U.S. Code, Title 10