



Department of Defense

DIRECTIVE

NUMBER 2060.01

January 9, 2001

Incorporating Change 2, August 31, 2018

USD(A&S)

SUBJECT: Implementation of, and Compliance with, Arms Control Agreements

References: (a) DoD Directive 2060.1, "Implementation of, and Compliance with, Arms Control Agreements," July 31, 1992 (hereby canceled)
(b) Title 10, United States Code
(c) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992
(d) DoD Directive O-5205.7, "Special Access Program (SAP) Policy," January 3, 1997
(e) through (h), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

1.1. Reissues reference (a).

1.2. Consistent with Title 10, United States Code (reference (b)), updates policy and responsibilities for DoD implementation of, and compliance with, arms control agreements of the United States Government.

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, 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"). The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps.

3. POLICY

It is DoD policy that:

3.1. All DoD activities shall be fully compliant with arms control agreements of the U.S. Government.

3.2. Implementation of, and compliance with, arms control agreements shall be carried out so as to avoid the compromise of national security information.

3.3. The Department of Defense shall provide separate budget presentations and justifications for all its arms control implementation and compliance related expenses.

4. RESPONSIBILITIES

4.1. The Under Secretary of Defense for Acquisition, Technology, and Logistics shall:

4.1.1. Oversee implementation of, and provide guidance through appropriate chains of command for, planning and execution throughout the Department of Defense to ensure that all DoD activities fully comply with arms control agreements.

4.1.2. Provide, as requested by the Under Secretary of Defense for Policy (USD(P)), advisers or technical experts to support the OSD representatives to negotiating groups, other international meetings, and inter-Agency meetings associated with arms control implementation and compliance matters.

4.1.3. Designate, as required, a Treaty Manager for oversight of implementation and compliance for each existing and prospective arms control agreement covered by this Directive.

4.1.4. As necessary, establish DoD implementation working groups for each arms control agreement, with a Treaty Manager as the Chair, to monitor and coordinate DoD arms control agreement implementation.

4.1.5. As necessary, establish a DoD compliance review group (CRG) for each arms control agreement, with the appropriate Treaty Manager as the Chair and including members provided by the USD(P), the General Counsel of the Department of Defense, and the Chairman of the Joint Chiefs of Staff, to monitor compliance of all DoD activities and to coordinate DoD guidance on issues arising from questions of compliance. When activities of individual DoD Components are considered by a CRG, the affected Component shall have the right to express its views to the CRG.

4.1.5.1. For specific DoD planned activities, the CRG Chair shall recommend an arms control agreement compliance certification, with coordinated rationale, to the Under

Secretary of Defense (Acquisition, Technology, and Logistics) (USD(AT&L)), including any separate views of Components having equities in the matter.

4.1.5.2. On other compliance issues requiring resolution (such as those arising from an on-site inspection), the CRG Chair shall provide recommendations to USD(AT&L), with similarly coordinated rationale, including any separate views of Components having equities in the matter, to resolve each issue.

4.1.5.3. Any compliance issue concerning disclosure of classified military information to foreign governments or international organizations resulting from an arms control agreement shall be resolved in accordance with DoD Directive 5230.11 (reference (c)). When participating in the process mandated by DoD Directive 5230.11, the USD(AT&L) shall ensure that compliance considerations are taken into account using the appropriate CRG. Disclosure decisions shall be made in a timely manner to ensure compliance with arms control agreements. Additionally, issues concerning disclosure of classified information for which the Department of Defense is not the original disclosure authority shall be coordinated with the originator to obtain disclosure/protective guidance for affected materials.

4.1.6. Certify, as necessary, that specific planned activities are in compliance with arms control agreements.

4.1.7. Monitor all DoD activities for compliance with arms control agreements and, as necessary, conduct or direct reviews to determine if there are issues that should be brought before a CRG to ensure compliance.

4.1.8. Provide direction and oversight for the conduct of research and development to support DoD arms control agreement implementation and compliance.

4.1.9. In coordination with the USD(P), the Under Secretary of Defense (Comptroller) (USD(C)) and the Under Secretary of Defense for Personnel and Readiness (USD(P&R)), ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for arms control agreement implementation and compliance. Establish a DoD working group to monitor and coordinate DoD arms control planning, programming and budget issues.

4.1.10. Ensure that for Special Access Programs (SAPs) the responsibilities identified in subparagraphs 4.1.1. through 4.1.9., above, will be carried out in accordance with DoD Directive O-5205.7 and DoD Instruction O-5205.11 (references (d) and (e)).

4.2. The General Counsel of the Department of Defense shall be responsible, within the Department of Defense, for legal interpretation of arms control agreements and shall provide advice and assistance on the arms control agreement implementation and compliance review programs. A representative of the General Counsel of the Department of Defense shall be a member of each DoD implementation working group and CRG.

4.3. The Under Secretary of Defense for Policy shall:

4.3.1. Pursuant to DoD Directive 5111.1 (reference (f)), represent the Secretary of Defense on arms control matters involving the National Security Council, the Department of State, and other Departments, Agencies, and inter-Agency groups.

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

4.3.3. Represent 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 about DoD implementation of and compliance with arms control agreements.

4.3.4. Provide a representative as a member of each DoD implementation working group and CRG.

4.3.5. Develop policy guidance consistent with arms control agreements.

4.3.6. Provide advice and assistance for implementation of, and compliance with, arms control agreements.

4.3.7. Support the USD(AT&L), the USD(C), and the USD(P&R) to ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, necessary for arms control agreement implementation and compliance.

4.3.8. Identify and/or address, in consultation with the CRGs, as appropriate, issues arising from DoD activities that require resolution to foreclose or respond to questions of U.S. compliance raised by other parties to arms control agreements.

4.4. The Under Secretary of Defense (Comptroller) shall:

4.4.1. In coordination with the USD(AT&L), the USD(P), and the USD(P&R), ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, for arms control implementation and compliance.

4.4.2. Provide a representative as a member of each DoD implementation working group.

4.4.3. Provide, on request, a representative to meetings of each CRG.

4.4.4. Provide, as required, budgetary information required for compliance with arms control agreements.

4.5. The Under Secretary of Defense for Personnel and Readiness (USD(P&R)) shall, in coordination with the USD(AT&L), the USD(P), and the USD(C), ensure that the DoD

Components plan, program, budget, and allocate resources, including personnel, for arms control implementation and compliance.

4.6. The Heads of the DoD Components shall:

4.6.1. Ensure the compliance of their respective Component with arms control agreements according to general procedures and guidance issued by the USD(AT&L) and, as appropriate, to coordinated military guidance provided by the Chairman of the Joint Chiefs of Staff.

4.6.2. Ensure that all provisions and criteria available under the various arms control agreements are used as appropriate to avoid the unauthorized disclosure of classified information under their cognizance.

4.6.3. As required, designate in writing to the USD(AT&L) an implementation and compliance review manager for each arms control agreement.

4.6.4. Establish and execute, as required, plans and detailed procedures applicable within their respective Components for implementation of, and compliance with, arms control agreements.

4.6.5. Plan, program, budget, and allocate resources, including personnel, necessary to implement and comply with arms control agreements. Such actions shall be carried out to identify those funds that are unique to arms control implementation and compliance.

4.6.6. Provide advice and assistance, as appropriate, 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 DoD implementation working groups and send a representative to CRG meetings to express the DoD Component's views.

4.6.7. For specific DoD-planned activities, seek clearance from the USD(AT&L), through the appropriate CRG, on a timely basis, 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. For other compliance issues requiring resolution (such as those arising from an on-site inspection), seek resolution from the USD(AT&L), through the appropriate CRG. When there is doubt whether clearance or resolution is necessary, it shall be sought. If the 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 (SRG). The SRG Chairman will effect coordination with the appropriate CRG.

4.6.8. Provide, as required, periodic reports advising the USD(AT&L) of the arms control implementation and compliance status of activities under the purview of the Component.

4.6.9. Provide USD(C), the USD(AT&L), the USD(P), and as required the USD(P&R), budgetary or resource information concerning implementation and compliance costs for arms control agreements.

4.7. The Chairman of the Joint Chiefs of Staff shall:

4.7.1. Provide 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 inter-Agency groups.

4.7.2. Coordinate, as provided under subparagraph 4.7.4., below, activities including communications to and from the Combatant Commands, for implementation of, and compliance with, all arms control agreements.

4.7.3. Provide advice and assistance, as required, for DoD negotiation of, implementation of, and compliance with, arms control agreements.

4.7.4. Coordinate the development of detailed procedures applicable within the Combatant Commands, that when approved by the Secretary of Defense, establish requirements for implementation of arms control agreements by the Combatant Commands.

4.7.5. Provide 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 compliance and implementation plans.

4.7.6. Provide a representative as a member of each DoD implementation working group and CRG.

5. INFORMATION REQUIREMENTS

The information requirements in subparagraphs 4.6.3., 4.6.8., and 4.6.9., above, have been assigned the Report Control Symbol DD-AT&L(AR)1229 in accordance with DoD 8910.1-M (reference (g)).

6. SUMMARY OF CHANGE 2. This change updates the issuance number and reassigns the office of primary responsibility for this directive to the Under Secretary of Defense for Acquisition and Sustainment in accordance with the July 13, 2018 Deputy Secretary of Defense Memorandum (Reference (h)).

6. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, appearing to read "Rudy de Leon". The signature is fluid and cursive, with the first letter of each word being capitalized and prominent.

Rudy de Leon
Deputy Secretary of Defense

Enclosures - 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Instruction O-5205.11, "Management, Administration, and Oversight of DoD Special Access Programs (SAPs)," July 1, 1997
- (f) DoD Directive 5111.1, "Under Secretary of Defense for Policy," December 8, 1999
- (g) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," June 30, 1998
- (h) Deputy Secretary of Defense Memorandum, "Establishment of the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment," July 13, 2018