



## DoD DIRECTIVE 3801.02

# NORTH ATLANTIC TREATY ORGANIZATION (NATO) SPECIAL OPERATIONS HEADQUARTERS (NSHQ)

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**Originating Component:** Office of the Under Secretary of Defense for Policy

**Effective:** May 28, 2019

**Releasability:** Cleared for public release. Available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

**Cancel:** Secretary of Defense Memorandum, "Designation of U.S. Special Operations command as the Lead Component Tasked with Executive Agent Responsibilities for the NATO Special Operations Headquarters," December 31, 2012

**Approved by:** David L. Norquist, Performing the Duties of the Deputy Secretary of Defense

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**Purpose:** This issuance:

- Establishes policy and assigns roles and responsibilities to support the September 12, 2011 NATO Special Operations Headquarters Memorandum of Understanding (MOU), referred to in this issuance as "NSHQ MOU."
- Designates the Commander, United States European Command (USEUCOM), as the Lead Agent for the NSHQ, pursuant to Public Law 111-84.
- Provides direction to support congressionally-directed tasks contained in Section 1280 of Public Law 114-92.

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## **SECTION 1: GENERAL ISSUANCE INFORMATION**

### **1.1. APPLICABILITY.** This issuance applies to:

a. OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) 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”).

b. U.S. Government personnel acting under U.S. national authorities as Framework Nation representatives in accordance with the NSHQ MOU.

### **1.2. POLICY.** It is DoD policy that:

a. The DoD will plan and support the ability of NATO, NATO allies, and NATO partners to conduct multinational expeditionary and irregular warfare operations with proficiency equivalent to deterrence and defense operations.

b. United States special operations forces available to NATO and under the direction and control of the Supreme Allied Commander, Europe, will be prepared to execute operations, missions, activities, and tasks under NATO’s graduated, standing, and operations plans.

c. DoD Components will support the interoperability and capability of allied and partner special operations forces to execute NATO, coalition, or bilateral operations that require the unique capabilities of special operations forces.

d. Pursuant to decisions taken by the North Atlantic Council, NSHQ is a NATO military body with international status.

## SECTION 2: RESPONSIBILITIES

**2.1. UNDER SECRETARY OF DEFENSE FOR POLICY (USD(P)).** The USD(P) is the Principal Staff Assistant and advisor to the Secretary of Defense on matters relating to international security policy, special operations, and irregular warfare, in accordance with DoD Directive 5111.1. The USD(P) will:

- a. Develop and provide oversight to the execution of NATO policy.
- b. Recommend to the Secretary of Defense priorities for policy, concepts, analysis, capabilities, and investment strategies relevant to allied and partner special operations forces.
- c. Provide and maintain strategic security cooperation policy and guidance for allied and partner special operations forces.

**2.2. ASSISTANT SECRETARY OF DEFENSE FOR SPECIAL OPERATIONS AND LOW-INTENSITY CONFLICT.** Under the authority, direction, and control of the USD(P) and in coordination with the Assistant Secretary of Defense for International Security Affairs, as appropriate, the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict will:

- a. Develop and oversee strategies, policies, plans, and programs that enable the global execution of U.S., NATO, and coalition forces' special operations, irregular warfare, and counterterrorism capabilities.
- b. Oversee Framework Nation functions of the NSHQ.
  - (1) In coordination with the Assistant Secretary of Defense for Legislative Affairs, serve as the advocate and interlocutor for NSHQ with Congress. Prepare all necessary and required reports detailing U.S. Framework Nation support, including support by all DoD Components, to the NSHQ.
  - (2) Develop strategic plans and guidance to ensure coordination of NATO policy as it pertains to counterterrorism or the fight against terrorism, and resources available to NSHQ.
  - (3) Serve as the OSD advocate for NATO and European special operations requirements and capabilities that require U.S. support, to include ensuring the coordination of planning constructs and assumptions that require the use of U.S., allied, and partner special operations forces.
  - (4) Develop policy and issue guidance for matters related to the implementation of this issuance.

**2.3. CJCS.** The CJCS will:

- a. Provide military advice to the Secretary of Defense on issues pertaining to allied and partner special operations, as appropriate.
- b. Coordinate with the Military Service Chiefs and Combatant Commanders regarding NSHQ issues and support, as appropriate.

**2.4. SECRETARY OF THE ARMY.** The Secretary of the Army will:

- a. Prepare, submit, and execute annual budgets and program justifications for congressional appropriations to support the NSHQ as the designated Administrative Agent, in accordance with Chapter 9 in Volume 11a of DoD 7000.14-R.
- b. In accordance with the NSHQ MOU, on closure of the NSHQ or termination of the MOU, receive and dispose, as required, non-cost shared Framework Nation property.
- c. Provide, as appropriate, personnel support to U.S. Army civilians assigned to the NSHQ.

**2.5. COMMANDER, USEUCOM.** The Commander, USEUCOM will:

- a. Serve as Lead Agent tasked with executive agent responsibilities for the NSHQ, pursuant to Public Law 111-84.

b. As Lead Agent, USEUCOM:

(1) Designate a chair for the NSHQ Senior Policy and Resources Committee, consistent with the NSHQ MOU and CJCS Instruction 1600.01.

(2) Serve as the U.S. representative at NSHQ Senior Policy and Resources Committee meetings.

(3) Negotiate, conclude, and sign amendments or changes to existing MOUs and technical arrangements, as authorized by the USD(P).

(4) Review and validate force structure requirements for U.S. support to the NSHQ, in coordination with the Commander, United States Special Operations Command (USSOCOM), as appropriate.

**2.6. COMMANDER, USSOCOM.** The Commander, USSOCOM will:

- a. Advocate and provide military advice on capabilities that support allied and partner interoperability with U.S. forces for those areas that fall within USSOCOM responsibilities under Section 167 of Title 10, United States Code.

(1) Establish the appropriate links with the NSHQ to provide doctrine, training, and equipment standards in support of special operations, irregular warfare, and security force assistance capabilities.

(2) Maintain mechanisms to share special operations, irregular warfare, and security force assistance best practices and lessons learned with the NSHQ.

(3) Promote policies and procedures for materiel interoperability and standardization for special operations equipment.

(4) Validate NSHQ's special operations requirements to ensure interoperability of equipment and forces.

(5) Through appropriate mechanisms, support NSHQ with releasable tactics, techniques, and training standards for special operations forces.

(6) Review and validate the force structure requirements for U.S. support to the NSHQ in support of the Commander, USEUCOM.

b. Coordinate with the Commander, USEUCOM, on manpower and assignment of U.S. special operations military personnel to the NSHQ.

## GLOSSARY

### G.1. ACRONYMS.

CJCS	Chairman of the Joint Chiefs of Staff
MOU	memorandum of understanding
NATO	North Atlantic Treaty Organization
NSHQ	NATO Special Operations Headquarters
USD(P)	Under Secretary of Defense for Policy
USEUCOM	United States European Command
USSOCOM	United States Special Operations Command

### G.2. DEFINITIONS.

**Framework Nation.** For the purpose of this issuance, the Framework Nation:

Refers to a participant in a MOU organization responsible for arranging certain support as required in the agreed MOU.

Provides funds for the permanent establishment of the NSHQ, as defined by the MOU, facilitates implementation for the initial manning, funding, and support of the NSHQ, and provides a chairman and secretary for meetings of the Senior Policy and Resources Committee.

Provides funding for certain initial logistic and support personnel outside of those provided on the MOU manning document, until the shared budget goes into effect.

## **REFERENCES**

Chairman of the Joint Chiefs of Staff Instruction 1600.01, “Charter for United States European Command NATO Manning Division,” May 31, 2013

DoD 7000.14-R, Volume 11a, “Financial Management Regulation; Reimbursable Operations Policy,” current edition

DoD Directive 5111.1, “Under Secretary of Defense for Policy,” December 8, 1999

North Atlantic Treaty Organization Special Operations Headquarters Memorandum of Understanding, September 12, 2011<sup>1</sup>

Public Law 111-84, Section 1244(a), “The National Defense Authorization Act for Fiscal Year 2010,” October 28, 2009

Public Law 114-92, Section 1280, “The National Defense Authorization Act for Fiscal Year 2016,” November 25, 2015

United States Code, Title 10, Section 167

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<sup>1</sup> DoD personnel who require access to this document may contact the Executive Director of the NSHQ Framework Nation Cell at [executive.director@nshq.nato.int](mailto:executive.director@nshq.nato.int).